EDUCATIONAL LEADERSHIP

Perspectives on Preparation and Practice

Edited by

NORRIS M. HAYNES, SOUSAN ARAFEH,
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Contents

Foreword v

Introduction vii
Norris M. Haynes

Section 1 Core Knowledge for Educational Leaders 1

Introduction 3
Sousan Arafeh

1 Orienting Education Leaders to Education Policy: A Primer 7
Sousan Arafeh

2 The Central Role of Learning Theory in School Leadership 27
Lystra M. Richardson and Cynthia McDaniels

3 Leadership for Academic, Social, and Emotional Learning (ASEL) 45
Norris M. Haynes

4 Leadership and Social Justice 61
Cynthia McDaniels and Cathryn Magno

Section 2 Professional Development for Educational Leaders 81

Introduction 83
Cynthia McDaniels

5 An Eco-Developmental Framework for Educational Leadership 87
Norris M. Haynes and Cynthia McDaniels

6 Leadership Development 103
Sue Williams and Charles Williams

7 Educational Leadership in a Global Context 121
Cathryn Magno

8 On Becoming a Leader 141
Jess L. Gregory

9 Field Experience in Educational Leadership Programs: The Essential Core 161
Cynthia McDaniels

Section 3 Knowledge and Strategies for Improving Education 179

Introduction 181
Norris M. Haynes

10 Applied Research Methods for Educational Leadership 185
Norris M. Haynes, Jess L. Gregory, and William Diffley

11 Orienting Leaders to Program Evaluation 211
Norris M. Haynes

12 Educational Leadership for Multicultural Education: Teaching English Learners 235
Gladys Labas, Norris M. Haynes, and Jess L. Gregory

13 A Balanced Curriculum Approach for Educational Leaders 245
David A. Squires

14 Educational Technology Leadership for Educational Leaders: An Integrated Technology Leadership Model 253
Sousan Arafeh

Index 271

Foreword

Today, more than ever, the challenges facing both established leaders in their own right as well as newly certified professionals prepared to enter the field of educational leadership have never been greater. No one can deny that so much has happened in school leadership practice in relatively such a short period of time to shape and influence the preparation of leaders. These events have dramatically raised the ante on accountability and expectations in almost every respect for those entrusted with the role of leading schools. The resulting demands on the physical time and stamina, while incalculable, are clearly evident in today's school leaders and invite challenging intellectual pursuits such as this book. My forty-plus years in the field, embracing career leadership experiences at the school, district, and university levels, serve to underscore my personal beliefs about how the magnitude of the responsibilities leaders face today has grown substantively and rest heavily on the shoulders of all who have taken up the challenge.

I was especially honored to be invited to prepare this foreword for this book as I have come to know and respect the authors as professional colleagues and friends over the last decade. During these years we worked closely together in the Educational Leadership and Policy Studies Department at Southern CT State University striving daily to develop and prepare a new generation of educational leaders fully informed and committed to making a difference in public schools and educational based agencies throughout the state and surrounding region. This work is a product of their passion and love not only for our students but also the thousands of children with whom those we teach and interact with, come in contact in their work place settings. That love is a reflection of deep-seated desires to truly make a difference in how leaders today affect positive performance gains for all students in the schools of Connecticut. This work came to be as an extension of the daily interactions of these fine people, evidenced in the depth and breadth of their conversations. These essential conversations occurred between and among the authors themselves, with other colleagues in our department and among members of their professional circles about preparing school leaders. The conversations centered on not only what it takes to achieve state licensure in Connecticut but more so and most importantly about the knowledge, attitudes dispositions, and intellectual curiosity that every student must leave us with to serve with distinction in leadership positions in schools.

The significance of this book lies in its relevance and potential value for students of Educational Leadership as well as practitioners actively engaged in the field today. The content treated in each of the fourteen chapters details thought provoking detail of critical aspects of leadership practice in ways often not possible in the constraint of classroom or formal student-teacher deliberations. Thoughtful introductions set the stage and present the topics for each of the book's three sections: *Core Knowledge for Educational Leaders*, *Professional Development for Educational Leaders*, and *Knowledge and* Strategies *for Improving Education.*

Space does not permit me to detail here the impressive credentials of the chapter authors. However, I must note summarily that the strength of this work in the treatment of each topic emerges in the collective experiences and expertise of its authors, who have served as education leaders in schools and at the academy, who have engaged in extensive policy development work with the state and national organizations, and who have authored other works. A simple calculation of the number of years they have worked in the field and have engaged thousands of students in the classrooms of the academy underscores a personal belief that these individuals know their "stuff" and are well-versed in the content they write about here. People like these individuals work silently in the background making extraordinary things happen, always raising the bar, and setting the highest expectations for themselves and for professional practice. I thank you for taking time to engage them in this work and I trust your reading of this work will leave you with a touch of the enthusiasm and commitment I have had the pleasure to know and work with these many years.

Peter R. Madonia, EdD
Southern CT State University

Introduction

Norris M. Haynes

More than ever before, educational leaders are required and expected to create learning environments in which teachers are teaching more effectively, students are learning more efficiently and achievement levels among all students are at increasingly higher levels. Portin, Alejano Knapp, & Marzolf, E. (2006) noted: "if there is a unifying concern for schools today, it is that students—all students—experience academic success. Whether through policy efforts such as the federal No Child Left Behind (NCLB) act, or parental concerns about whether their child will succeed in school" (p. 2).

The imperative that educational leaders face to produce better academic results among all students is influenced by several factors including the following:

- On international assessments, American students are performing academically well below their counterparts in other parts of the world, especially in science and math (Provasnik, Gonzales, & Miller, 2009).
- The achievement gap persists between White, Asian-American, and more affluent students on the high achieving end of the gap and African-American, Hispanic–American, and less affluent students on the low end of the gap (Barton, 2003).
- An increasing number of students in American schools are inadequately prepared for college and many who make it to college drop out during freshman year (Moore, Slate, Edmonson, Combs, & Onwuegbuzie, 2010).
- The work force demands of the changing American economy require a highly educated and highly motivated employable pool of potential employees and many businesses express concern that there is a dearth of qualified employable applicants among currently graduating students (GAO, 2004).

- There is a yet unmet imperative to produce academically, socially and emotionally intelligent and responsible students (Zins et al, 2005).

It is important to note that the concerns about American students' performing lower than students from other parts of the world are based on scores on tests that are administered internationally and that may not address forms of applied creativity that often determine a nation's collective creative standing in the world. Clearly by any measure the United States is way ahead of other countries in the world in innovation and creativity. Indeed the international performance measures also do not consider the much broader socio-demographics of the American population of students compared to the more homogenous student populations to which American students are compared. This is not intended as an apology or rationalization for the discrepant performance of American students compared to students from other countries but as a caution against the risk of decontextualized misinterpretation of test scores whether these scores are related to international, national or local comparisons.

The imperative to produce academically, socially and emotionally intelligent and responsible students should to a large extent drive much of what we do in education. It does appear that the achievement challenges and problems cited above may, to a very large degree, be rooted in the failure of educators to address, not just the academic learning needs of large numbers of students but their social and emotional learning needs as well. Low academic achievement, school dropout, and school failure are often just not the result of a failure of intelligence or of poor intellect among students, but a failure on the part of communities and schools to provide the kind of engaged learning opportunities that students need to fully grasp the interrelatedness between academic learning and the quality of their present and future lives. Issues of motivation, self-regulation, emotional engagement in learning, peer-group norms and values, social expectations and teacher expectations, and self-expectations are all factors that impact student learning and achievement.

How then does the educational leader recognize and respond to these myriad factors over which he or she may have little or no control? How can the educational leader be held accountable for student failure when student achievement is influenced by factors that are not in their direct control or may not be directly influenced by school contexts?

School leaders and teachers cannot be held totally and solely responsible for ensuring that students in American schools are learning and performing at expected levels. Yet, they must accept responsibility for accessing and mobilizing all available resources to support students' total development and for demonstrating that they are making a significant and measurable positive difference in turning present negative educational trends around. School leaders, in particular, are expected to lead by example and to meet all of the standards for educational leaders set forth by the States and/or jurisdictions in which they practice. The evidence is clear that leaders do directly and indirectly make a difference in student learning in schools (Waters, Marzano, & McNulty, 2003). Some research ranks the leadership in a school second only to classroom instruction among school factors that influence school-based student learning (Leithwood, Louis, Anderson & Wahlstrom, 2004). The impact of educational leaders on student learning occurs through their multivariate roles on several levels including their roles as the following: student advocates and student motivators, instructional leaders, professional development supporters and professional development facilitators, staff motivators and standard setters, school culture and climate builders, data users and data driven decision-makers, program planners, program developers and program implementers, policy makers and policy enforcers, parent encouragers and parent involvers, resource identifiers and community builders.

The extent to which the educational leader is able to effectively carry out the diverse roles through which he or she impacts student achievement is largely, though not only, influenced by pre-service preparation. Certainly the individual personality of the educational leader, personal experiences, and some on the job learning influence the educational leader's effectiveness. However, without a doubt, the pre-service educational preparation that all educators receive, and, in particular, the leadership preparation that that educational leaders receive, help to frame and shape educational leaders' educational philosophy, the principles that they embody in their educational practice, and their approach to leading. In the group dynamics field, an effective leader has been referred to as being "situationally adroit" (i.e., being able to adjust and adapt one's leadership style to effectively address issues in a variety of contexts). Here, I would like to introduce the concept of *"situationally adroit educational leadership"* in which the leader has the inclination, capacity, and skill to adapt his or her leadership style and leadership approach to most effectively meet the diverse leadership challenges that he or she may face.

In this book, the professor authors identify core knowledge and skill areas that educational leaders should be, and/or are, exposed to during pre-service preparation. These professors, as educators and supervisors of pre-service educational leaders, describe and discuss pedagogical and experiential learning paradigms that they use and suggest be used to prepare students to become effective leaders. They discuss five key leadership themes that help to prepare the "situationally adroit" educational leader. These five leadership themes are: (1) *student development and learning*: increasing the achievement levels of all students to internationally competitive levels while closing achievement gaps where they exist; (2) professional development: promoting and supporting faculty development and competencies that enable faculty to effectively meet students' learning needs; (3) developmental, socio-cultural and learning contexts: creating sustainable school cultures and climates that serve to anchor and build respect, engagement, and motivation among students from diverse cultures with different learning styles and at disparate school readiness levels; (4) accountability: engaging, communicating with, and responding effectively to demands and expectations of stake-holding groups; and (5) advancing the field: embracing and instituting policies, conducting research, and using technologies that advance the four themes mentioned above. These themes are in many ways consistent with widely acknowledged leadership considerations that guide leadership actions (Wagner et al. 2006; Connecticut State Department of Education Common Core of Leading, 2012).

The five core leadership themes that permeate the chapters in this book are interrelated. To a very large extent, student development and learning depend on the effectiveness of school staff, including school leaders. Pre-service preparation and in-service professional development for educators generally and educational leaders specifically provide the attitudes, skills and knowledge needed by educators, at all levels, to positively impact student development and learning. It is also true that student development and learning do not occur in a vacuum but are influenced, and perhaps shaped by the developmental, cultural, and learning contexts in which students grow, live, and learn. Professional development must take into consideration these developmental, cultural, and learning contextual influences in order that educators may be prepared well, effectively and adroitly. They must also be prepared to practice ethically, holding and supporting high standards and high expectations for all including themselves, their faculty, and the students whom they serve.

While it is clear that we must hold educators, including school leaders, accountable for student development and learning, it is also understood that students themselves and other key stakeholders including parents, community groups, and policy makers must also be held accountable for student development and academic performance. Thus, accountability expectations and enforcement procedures and consequences have significant impact on learning outcomes. School leaders must be well prepared to understand and address issues of accountability, including administering, interpreting, and responding to professional assessments and student assessments.

The understanding of student and staff development and learning; the provision of professional development; the appreciation of diversity among developmental, cultural, and learning contexts; the importance of accountability measures, including faculty and student assessments; and the field of educational leadership as a whole continue to advance through the application of sensitive policies, rigorous program evaluation and research, and current technologies.

The book is organized in three major sections: Section 1: Core Knowledge for Educational Leaders; Section 2: Professional Development for Educational Leaders; Section 3: Methods for Improving Education. The chapters in each section in different ways address one or more of the five core themes. Each section is introduced by a summary statement which intends to serve as an advance organizer for helping the reader appreciate the essence and connecting themes among chapters within the section.

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Section 1
Core Knowledge for Educational Leaders

Introduction

Sousan Arafeh

In any field or discipline there are foundational expectations about what a competent professional should know and be able to do. In the field of educational leadership this concept gets muddied because the contexts in which such leaders work are so diverse, the core business that they undertake is so varied, the resources that they must marshal and bring to bear span across so many arenas, and the outcomes that they seek are both tangible and intangible. In short, the purview of any particular educational leader's work is extremely broad and each educational leader's purview is distinct from the next. Thus, a leader's training must be grounded and flexible enough to reach diverse individuals with diverse trajectories. It must also help these leaders know that they do not need to deeply know everything, but they must know how to know, who knows what, how to bring expertise and the appropriate resources to the table, and how to support ongoing learning and change.

In such a context, what constitutes core knowledge for educational leaders? Once this knowledge is identified, what constitute "signature pedagogies" for the educational leadership field—instructional methods specific to the nature and advancement of a particular field? (Schulman, 2005). In this initial section of our book, we seek to provide some answers to these important questions. Not only do the four constituent chapters ground the intent of this multi-authored volume, they also orient new and seasoned leaders to certain core areas of knowledge that we believe educational leaders should possess as they undertake their work.

Chapter 1 posits that knowledge of public policy—what it is and how it takes place—is crucial for educational leaders. This is not only because national, state, and local policies affect education daily as leaders strive to uphold and implement them in their buildings and districts. It is also because educational equity and change often hinges on how policy is developed and advanced. Educational leaders must understand that leadership brings with it a significant responsibility to advocate for improvements that will support justice and equity as much as it will support educational outcomes. This chapter is intended as a primer to orient new and seasoned educational leaders to the educational policy context. The author argues for, and advances, leader candidates' policy understanding and literacy. It offers a brief history of public policy's foundations, dominant policy models, resources for exploring and understanding policy research and analysis, and rationales for each. Policy knowledge is foundational to understanding education and educational leadership, the author argues, and this chapter provides a clear overview.

Chapter 2 argues that educational leaders need a strong understanding of learning theory. The purpose is not to understand students in classrooms directly, but to effectively guide the conduct and development of teaching, administrative, and support staff as they work to provide excellent educational content and contexts for their students. Thus, exposure to learning theory is crucial and foundational. More important in a leadership context is understanding how to understand the learning and development needs of staff in order to support their growth and excellence. In addition to learning theory related to pedagogy, the authors argue, it is crucial to have exposure to learning theory regarding andragogy. This is because adults form the bulk of an educational leader's overarching concern and, through their work, school culture and student experiences and outcomes.

In Chapter 3, Academic, Social, and Emotional Learning (ASEL) is highlighted as "an indispensable way for educational leaders to regard teaching and learning in schools." Arguing that education is not, and cannot be, only about cognitive development and achievement, the author explores ASEL as a construct developed from integrated constituent competencies that have derived from Goleman's notion of emotional intelligence (EQ) (Goleman, 1995). ASEL consists of self-awareness, self-management, relationship skills, and responsible decision making. When students are supported in their ASEL knowledge and skills, they are better able to regulate and achieve academically. This is supported with neuro-scientific evidence that educational teachers, leaders, and policymakers interested in improved educational outcomes ignore at their peril. Leaders must understand that ASEL domains exist and can be developed. Thus, being aware of ASEL and helping faculty and staff teach ASEL skills and assess ASEL potential is something twenty-first-century educators must develop.

The last chapter in this section, Chapter 4, argues that social justice knowledge, and a social justice orientation, should have more prominence in educational leadership preparation curricula. The authors posit that current leadership programs are often devoid of coursework or content that offer historical perspectives. Likewise, programs fail to explore "social, cultural, economic and political perspectives on leadership" or "meta social theory…that would allow [educational leadership candidates] to deconstruct policy initiatives and formulate justified responses and rights-based advocacy strategies." Such actions by candidates would not only improve educational conditions, but would increase social justice awareness and advocacy throughout educational systems. The chapter is devoted to demonstrating the many ways in which social justice is, and can be, embedded in educational practice. It also presents a wide range of theoretical and research literature that can help orient educational leaders to this important topic. Explicitly sharing this knowledge, and explicitly placing social justice resources in educational leadership curricula, is the core strategy for how social justice can be infused in educators' and educational leaders' daily practice. The authors provide an example of the power of this kind of knowledge, inquiry, and political stance, through an empirical example of Connecticut demographics and settlement patterns. By filtering these through social justice constructs and theoretical frames such as *structural violence*, *institutionalized racism*, *white privilege*, and *Critical Race Theory* (CRT), the authors show how leadership programs can further prepare educational leaders to not only be change agents, but to pursue this work with a depth of ethical and moral concern that desperately needs expression in our educational and social systems.

As noted earlier, the chapters in this section do not seek to cover all of the "core knowledge" that educational leaders could have. It does highlight, however, the fact that there are certain foundational knowledges that educational leaders should have that most educational leadership programs either gloss over or ignore. It is our hope that the information provided here regarding policy, learning theory, ASEL, and social justice is compelling. In fact, we hope that it is inspiring and change-inducing enough that educational leadership programs consider whether and how to include these topics in curricula and through signature pedagogies. In this twenty-first century, so much has changed that exploring, revisiting, re-conceptualizing, and re-embracing what is foundational or core knowledge for educational leaders is, itself, also core.

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Chapter One

Orienting Education Leaders to Education Policy

A Primer[1]

Sousan Arafeh

Recent research suggests that effective educational leadership is only second to teacher quality in positively affecting student outcomes (Institute for Educational Leadership, 2000; Leithwood, Louis, Anderson & Wahlstrom, 2010; Waters, Marzano & McNulty, 2003). It follows, then, that quality educational leader preparation is crucial for creating leaders who help guide and set the conditions of school and student success (Orr & Orphano, 2011).[2] Educational leadership preparation has typically been a process of exposing teachers, counselors, physical educators, and others with masters degrees who have been working in education systems to concepts, materials and experiences that pertain to "leading" within educational organizations. What "leading" means depends upon the particular system and/or institution in which such leading takes place. It depends upon what macro and micro cultures constitute the broad context. "Leading" also depends upon the knowledge and functional requirements of the specific position and how these inform the swell of day-to-day demands. A core component of leading is upholding and/or creating policies—federal, state, municipal, board-developed, and school policies—that constitute the fabric of school governance and practice. Such policies integrally affect the educational work conducted and, thus, the outcomes that result (Darling-Hammond, 1999; Meghir, Palme & Schnabel, 2011; Wiseman, 2012).

In this chapter, I argue that policy knowledge is crucial for educational leaders and should be a necessary curricular and pedagogical element of educational leadership development programs. However, policy knowledge in many, if not most, leadership certification and Sixth Year programs is transmitted through a single class in education law. These law courses and their texts typically focus on the legislative process, common law, constitutional law, statutes and the like through case law or pragmatic details on how to recognize and respond to specific legal school requirements, primarily within the context of public schooling (Alexander & Alexander, 2011; LaMorte, 2011; Schimmel, Fischer & Stellman, 2007). The law is one type of policy mechanism, however, and what these law classes do not do is expose students to the full policy process, which sometimes leads to legislation. Policy, more broadly, has processes and outcomes that also shape the school experience; yet many educators and educational leaders are not aware that this is so.

It is for this reason that a primer of the policy process seems appropriate for educational leadership students. Not only will it broaden their understanding of educational systems, governance, and social norms, including the law; but will help them understand how school practices are shaped by multiple actors on a day-to-day basis through less formal policy processes. Most importantly, this understanding should help them see how they, as educational practitioners and advocates, can inform and positively affect policy outcomes. In some ways, broadening educational leaders' notions of the policy process, and the fact that they are actors within that process, is tantamount to helping them better understand the range of roles and responsibilities they have available to them so they can better pursue civic engagement.

Another reason a policy primer is important for educational leadership students is that students need a differentiated sense of policy. It is my contention that different types of policy knowledge are useful for different types of educational leaders (e.g., building level leaders that are not principals, principals, district leaders that are not superintendents, superintendents, educational administrators, educational policy makers, non-profit administration and staff). The importance of differentiating policy knowledge is premised on the belief that different educational actors strive to influence educational change, but do so within their particular personal and professional purviews. Each purview has a different context and set of organizational constraints. Helping people understand what policy actors, mechanisms, and processes exist within their purview supports their ability to target their educational change efforts.

A third reason for advancing a policy primer is to ensure that educational leadership students' understanding of "policy" is interdisciplinary and historically contextualized. Educational policy is grounded in policy theorizations and methods derived from other disciplines; primarily political science, sociology, and economics. By ensuring educational leaders have this knowledge, they can better understand what "educational policy" is and does, but within a broader set of disciplinary contexts. With this knowledge, they can look to other disciplines to support their educational knowledge and work.

It is crucial to note that the National Policy Board of Educational Administration's (NBPEA) *Educational Leadership Program Recognition Standards* (District and/or Building Level) "for institutions undergoing NCATE accreditation and ELCC program review" (NBPEA, 2011a: NBPEA, 2011b) structure best leadership practice as regards policy knowledge primarily from an advocacy standpoint based on the ability to analyze policy for current issues and future trends.

> ELCC Standard 6.0: A building-level education leader applies knowledge that promotes the success of every student by understanding, responding to, and influencing the larger political, social, economic, legal, and cultural context through advocating for school students, families, and caregivers; acting to influence local, district, state, and national decisions affecting student learning in a school environment; and anticipating and assessing emerging trends and initiatives in order to adapt school-based leadership strategies.
> ELCC 6.1: Candidates understand and can advocate for school students, families, and caregivers.
> ELCC 6.2: Candidates understand and can act to influence local, district, state, and national decisions affecting student learning in a school environment.
> ELCC 6.3: Candidates understand and can anticipate and assess emerging trends and initiatives in order to adapt school-based leadership strategies. (NBPEA, 2011a, p. 21–22).

From this perspective, policy knowledge and experience is clearly a "best practice" for educational leaders.

When policy content and experience are not part of educational leadership preparation programs, graduating educational leaders are not as prepared as they should be to critically understand and address the many policy-based issues that they may face in the course of their work. *This chapter provides a primer on education policy* that can help educational leaders develop a basic, applicable understanding of education policy foundations, practices, actors, and uses. It provides an overview of education policy for educational leadership in a US context: how policy is often conceived; some theoretical and historic underpinnings; key typologies and contributors; approaches to, and uses of, policy research; the important role of policy advocacy; and examples of landmark education policies. Suggestions for how such information can be presented in educational leadership preparation programs are also shared.

DEFINING POLICY

What is policy? The answer to this seemingly simple question is less straightforward than one might imagine. Policy has its foundations in political science where basic concepts, structures, and understandings of policy have been developed along with methods of policy research and analysis.

Anderson (2011) defines policy as “a relatively stable, purposive course of action or inaction followed by an actor or set of actors in dealing with a problem or matter of concern” (p. 6). Policy can be more or less formal (see the treatment of “Big ‘P’” and “Little ‘p’” policy below), but when scholars talk about “public policy,” government is implied as the individual and institutional actors or sets of actors for, and with, whom a policy course of action may be advanced. Theodoulou (1995) advances a “composite of the ideas and elements that are present in the vast majority of definitions [of public policy]” in the following:

> The first idea one encounters is that public policy should distinguish between what governments intend to do and what, in fact, they actually do; that governmental inactivity is as important as governmental activity. The second element is the notion that public policy ideally involves all levels of government and is not necessarily restricted to formal actors; informal actors are also extremely important. Third, public policy is pervasive and is not solely limited to legislation, executive orders, rules and regulations. Fourth, public policy is an intentional course of action with an accomplished end goal as its objective. A fifth idea describes public policy as both long-term and short-term. Policy is an ongoing process; it involves not only the decision to enact a law but also the subsequent actions of implementation, enforcement, and evaluation (p. 2).

As this definition suggests, and drawing conceptually from Gee’s (2013) distinction between “big ‘D’” Discourse (e.g., discourse as a broad cultural phenomenon) and “Little ‘d’” discourse (e.g., discourse comprised of day-to-day “language-in-use”), I would like to advance the constructs “Big ‘P’” policy and “Little ‘p’” policy where “Big ‘P’” policy is the sanctioned laws and policies that are advanced by formal structures and actors of governance and “Little ‘p’” policy is those social and cultural norms that are either explicit or non-explicit, but are not formalized and organizationally sanctioned. Using this framework, federal, state, municipal, and district legislation and policy stances—“public policy”—would constitute “Big ‘P’” policy. So would formal organizational policies when they are called for, and/or sanctioned by, organizational leadership.

The study of public policy has tended to be the study of “Big ‘P’’’ policy as the types and models outlined below demonstrate. That being said, it is important to note that many of these conceptualizations of public policy can and should be applied to “Little ‘p’” policy. This is important because the organizational and policy purviews of a large segment of educational leaders are “Little ‘p’” policy spaces. By developing programmatic, curricular, and pedagogical contexts that help educational leaders understand these distinctions and better discern their elements and interconnections, they can become familiar with these various conceptions of policy and the policy process and better negotiate the actors, processes, and outcomes that face them. There are further distinctions to be made; however, that will be explored after a discussion of the role of policy in the preparation of educational leaders.

THE PREPARATION OF EDUCATIONAL LEADERS AND THE ROLE OF POLICY

Who educational leaders are, and what they are supposed to know and do, has both remarkably consistent elements in U.S. historical accounts as well as areas of divergence and contestation. Murphy (1998) identifies three educational eras; the Prescriptive Era, 1890–1945; the Scientific Era, 1946–mid-1980s; and the Dialectic Era, 1986–1998. He argues that, across these eras, rather consistent knowledge and skill requirements for educational leaders have been advanced. These requirements include exposure to, and demonstration of, curricular and instructional understanding and guidance; engagement with community, state, and federal commercial, political, and social systems; and management of systems and resources to be economically and practically efficient and effective. More contested is facilitating social justice and equitable representation/employment, opportunity, and results for diverse students, faculty, and staff (Heck & Hallinger, 2005). Additional research on the work of early public school leaders suggest that these broad areas of the social context of schooling and required leadership response have remained remarkably unchanged over the centuries with the primary foci being administration of school buildings/districts and instructional leadership (e.g., Bogotch, 2011; Burkman, 2010; Murphy, 1998; Tyack & Hansot, 1982) and a tendency to over-focus on the principalship to the exclusion of other types of educational leadership (Heck & Hallinger).

Since the late 1980s, there have been efforts to improve educational leadership programs in institutions of higher education to make them more relevant and rigorous (UCEA, 1997).[3] 12 years later, still in a context of educational leadership program reform, the National Commission for the Advancement of Education (NCAELP) has suggested educational leadership programs need "interdependence" in developing and executing a common vision with "clearly defined and widely accepted leadership goals;" "effective delivery structures and organizational processes" to enhance outcomes and standards-based evaluation systems; and deep "collaboration among key educational leadership stakeholders" (p. 135). How these broad goals are implemented and sustained, however, is where the real work lies.

Since 2002, the call for educational leaders who are in touch with, and can effectively operate within, the new twenty-first-century demands on schools, students, and teachers has not waned and neither has the call for improved leadership and certification preparation programs (Black & Murtadha, 2007; Cibulka, 2013; Fullan, Bertani & Quinn, 2004; Schleicher, 2012; Wallace Foundation, 2010). Proposals for improvements exist, yet seem to continue to perpetuate a vision of educational leaders and their preparation that does not fully address actual educational contexts and needed skills. As noted earlier, differentiation among educational leader types is minimal and there is an over focus on the principalship, which sidelines the crucial network of interpersonal and interorganizational resources—human and material—that work together to educate students effectively.

In what I would call this *Data-Driven Era of 1998–2014*, accountability policies such as the 2001 reauthorization of the Elementary and Secondary School Act (ESEA)/*No Child Left Behind* and the more recent Common Core State Standards (CCSS) have catalyzed the use of high stakes state and national/international student assessments (e.g., the National Assessment of Educational Progress (NAEP), Trends in International Mathematics and Science Study (TIMSS), the Programme for International Student Assessment (PISA), the Partnership for Assessment of Readiness of College and Careers (PARCC), and Smarter Balanced Assessment Consortium (SBAC)) to incentivize improvements to educational schools and systems. As a result, there has been recent heightened focus on research and data analysis savvy as a core leadership capacity. This assessment knowledge is intended to support the instructional leadership role of educational leaders, which is being foregrounded as the primary role of school leaders, teachers, and support personnel (Horng & Loeb, 2010; Neumerski, 2013; Webber, Scott, Aitken, Lupart & Scott, 2013). However, effective instructional leadership requires an understanding of, and the ability to guide and manage, appropriate resources, effective systems, and staff members and community resources that drive and support the educational endeavor—including those systems, people, and activities involved in policy-related work (Black & Murtadha, 2007; Schleicher, 2012).

To be sure, the development of educational leaders is increasingly contested as more traditional, university-based leadership preparation programs see independent and entrepreneurial programs evolve through non-educational organizations, state governments, and for-profit educational institutions (Orr & Orphano, 2011). As well, with the latest federal policy *Blueprint for Reform: the Reauthorization of the Elementary and Secondary Education Act*, federal funding for educational leadership programs will be premised on causal links to student achievement (Kottkamp, 2010). It is in this context that the preparation of educational leaders is being considered and this chapter is being advanced for seasoned educational leaders and leaders in pre-service and/or in-service development in all types of programs.

WHO ARE OUR EDUCATIONAL LEADERS

When we talk about educational leadership and the preparation of educational leaders, we actually conflate all of the different types of educational leaders that there are and assume, to some degree, the common preparation program is appropriate for them all. In fact, there are many types of educational leaders, and in educational leadership programs there are many types of students from many different backgrounds, who have different leadership aspirations. Not only are their aspirations distinct, their background experiences are distinct and diverse. Thus, when they come to leadership programs, their various prior knowledge varies widely.

When we think about how to serve students in educational leadership programs, we need to also think: who are these diverse students and what are their diverse needs and aspirations? While not a major focus of this chapter, it does seem important to set out differences in educational leadership programs and their students for the sake of clarity. Our department facilitates four different program options: a 092 Intermediate Administrator Certification Program, a 093 District Administrator Certification Program, a Sixth Year Program (with or without administrator certification), and an EdD Program. Each program has a slightly different focus and, necessarily, requires different curricular content, scopes and sequences (Arafeh, in press).

There can be no doubt that a student in an educational leadership preparation program who aspires to be a building level Special Education Director in a small, low-income rural district would benefit from very different policy knowledge from a student who aspires to be a building Principal or Superintendent in a large, low-income urban district. The former needs a strong sense of current Special Education law—its application and what constitute available resources for teachers, counselors, other wrap-around service providers and students and their families. The latter needs a much more comprehensive sense of the broad policy landscape and, while a particular principal or superintendent may not know in-depth specifics of a particular policy area, such as Special Education or nutrition standards for school meals, s/he should have a basic understanding, based on their particular context, of core policy knowledge and, most importantly, whom to tap for additional depth and application assistance. Educational leaders in an EdD Program seek policy knowledge from a research perspective. Because they are focused on learning how to apply research to practical educational problems, they need an understanding of both on-the-ground policy processes and research-based methods of policy analysis and advocacy.

In my educational leadership courses I tend to see four types of students: academic content area classroom teachers; counselors, traveling content specialists, and special education teachers and support staff; physical education teachers, coaches, and athletic directors; and professionals employed in juvenile or family services that touch, but are outside of, the formal educational system. On rare occasions I will have a student that works for government, an educational foundation, or a non-profit educational advocacy organization. As I engage with this diversity of students and strive to differentiate my content and instruction to serve their varying aspirations, I often feel there is a "Goldilocks Policy Challenge:" how much policy knowledge, and what kinds, is just right? I would argue that this Goldilocks Policy Challenge for twenty-first-century leadership education programs will be to understand their diverse students better, and address, through targeted curriculum and pedagogy, what kinds of policy knowledge each needs to be effective as professionals.

As a way to address this matter, the next section explores certain policy history, philosophy, and approach foundations as developing an understanding of these is crucial for understanding how and why policy work is configured and advanced as it is.

HISTORICAL UNDERPINNINGS AND CONCEPTUAL TOUCHSTONES IN POLICY STUDIES

Outside of the acknowledgement that as long as there has been governance there have been efforts to inform decision-making with pertinent information, it is generally held that policy and policy making as a specific area of study was advanced in the early 1950s by Howard Lasswell (1951) through his vision of the "policy sciences" (Smith & Larimer, 2009). Often considered the father of the policy sciences, through this conceptualization Lasswell was giving a name to a phenomenon of increasing application of social scientific concepts and methods to public policy problems—specifically the process of public policy making and its "intelligence needs" (p. 14). Policy science was conceived as a cross-disciplinary, political science approach to understanding, generating knowledge about, and using such knowledge to inform practical policy decisions.

> We may use the term "policy sciences" for the purpose of designating the content of the policy orientation during any given period. The policy sciences include (1) the methods by which the policy process is investigated, (2) the results of the study of policy, and (3) the findings of the disciplines making the most important contributions to the intelligence needs of the time (p. 14).

Lasswell (1951) advanced four characteristics specific to his conception of the policy sciences: a problem orientation, multidisciplinarity, methodological and theoretical sophistication, and a value orientation (DeLeon, 2006: Smith & Larimer: 2009). Lasswell was very keen to note that policy sciences should move beyond the typical purview of political science's concern with government and power to include perspectives and methods from other fields such as mathematics, psychology, and anthropology, and others who have specialized to a fruitful degree in the understanding of choice" (p. 15). By advancing this interdisciplinary conception, Lasswell sought to create a more disciplinarily-inclusive, issue-focused approach to the study of public policy and the choice of solutions for positive social effect.

Many might hold that this vision of policy science has not always been realized in practice and that different disciplinary approaches have tended to favor those foci and methods upon which such disciplines typically rely (Smith & Larimer, 2009). In particular, there has been much theoretical and methodological sparring between positivists and interpretivists. The former have tended to herald the supremacy of rational conceptions and quantitative methods. The latter have tended to critique these as elite approaches to policy study that do not allow consideration of the full range of issues, actors, and possible methods and solutions. These would include poststructural, feminist, and cultural approaches, for example, or approaches focused more on coalitions' use of issue networks (Ball, 2011; Hoy & Miskel, 2006; Marshall, 1999; Stein, 2004; Stone, 1997). It should be noted, as well, that there is a conflation of the terms and conceptions of "policy studies" and "policy sciences" in the literature with many authors treating them as synonymous. I would argue that policy studies are the broader, umbrella concept under which other discrete areas of policy study rest; policy sciences being one such area of study. I would also argue that policy studies occur across disciplines and, because of this, certain study and practice of policy tends to follow functional, disciplinary lines. That being said, policy studies do have their core, cross-cutting components—many of which I seek to share in this chapter.

When it comes to "studying" and "doing" policy work, an important conceptual and practical distinction should be made between "policy sciences," "policy analysis," and "policy application." As with policy studies, policy sciences are a way of thinking about, and framing, the study of policy and policy making and the study and practice of policy analysis. Policy analysis is the pragmatic undertaking of identifying and assessing policy problems in context, and determining possible alternative solutions. Policy application is the work of developing, implementing and/or evaluating actual policies. Policy application requires policy analysis, but the focus in policy application is getting policy in place and then monitoring and modifying it as necessary.

DEFINING EDUCATION POLICY

Education policy is typically defined in relation to definitions of public policy and then figured and discussed within an educational frame. Fowler (2009) takes this tack in the following definition:

> *Public policy* is the dynamic and value-laden process through which a political system handles a public problem. It includes a government's expressed intentions and official enactments, as well as its consistent patterns of activity and inactivity. In this definition, g*overnment* includes elected and appointed public officials at the federal, state, and local level as well as the bodies or agencies within which these officials work. Thus, school board members, school administrators, and classroom teachers in public schools are all part of government, as are such individuals and groups as governors, judges, and Congress. (p. 3–4).

"Education policy," then, is policy directed at the enterprise of education and involving education actors. As with all public policy, education policy is intended to solve or address a social problem, but one that can be modified through educational institutions or processes. This is necessarily a value-based process because it attempts to advance certain points of view as to what constitute "problems" and "solutions." The ability to determine problems or solutions, or effectively pursue policy options, is an application of power—individual, conceptual, institutional, or systemic.

One important detail about education policy is that, legally, public education is the purview of the states; the federal government has no responsibility and/or jurisdiction for education. The 10th Amendment of the constitution states the following: "The powers not delegated to the United States by the Constitution, nor prohibited by it to the States, are reserved to the States respectively, or to the people" (U.S. Constitution, 1790). Because the responsibility for education is not explicitly mentioned in the Constitution, the responsibility falls to the states or the people. Strict interpreters of the legislation insist that federal intervention into states' educational endeavors is unconstitutional, and argue that the U.S. Department of Education, as an executive branch agency with a Presidential cabinet position, is likewise unconstitutional (e.g., Cato Institute, 2011). By virtue of this, most educational policy matters that educational leaders and educational leadership students will confront will come from states or be administered by states (or local municipalities).

These broad definitions of public policy generally, and education policy specifically, tend to conflate policy's many facets and hide its utter complexity. Policy is political and can involve formal politics, but it does not only operate in this arena. Policy is comprised of different elements, applied in different arenas, advanced using different processes and mechanisms, is dependent upon different types of analytic and functional activity, and is the purview of a range of different policy actors depending upon the situation and context. When these various people and processes are rendered invisible—as they typically are in the common ways people think about, talk about, and experience policy—the effect is one of naiveté. One may perceive that things are happening, but have no sense of how they have come to be. In such a situation, one cannot actively exert influence to effect change because one has no knowledge of the actors, processes, or mechanisms through which change can be pursued. Of course, inadvertent influence or pressure is possible.

Most of us are familiar with educational policy that is also legislation. The Elementary and Secondary School Act is one such thing—also known during the Bush Administration as *No Child Left Behind* and, more recently under the Obama Administration, *The Blueprint for Reform*. This legislation incentivizes states' educational behavior through (primarily fiscal) carrots and sticks as advanced by policy goals and mechanisms. Legislation is not the only policy mechanism that has influence, however. Policy research and reports can also capture the imaginations of a nation and result in formal legislative, but also cultural movement and change. The 1966 *"Coleman Report,"* more accurately titled *Equality of Educational Opportunity*, argued that student achievement was not affected by educational funding, in part, because student and family characteristics such as socioeconomic status and race were more salient. This report launched an enormous amount of discussion, debate, and action to develop policies and practices to make education more equitable and not only cater to a standard of equality of opportunity, but also to a standard of equality of results. Changes to school curricula and time, school busing, and increases in testing were a few of the activities and policies that resulted.

In 1983, the report titled *A Nation at Risk: The Imperative for Educational Reform* put the U.S. in a panic about its workforce's level of knowledge/skill and preparedness in comparison with other countries, particularly the Soviet Union, internationally. This report resulted in changes to teacher certification; program scope, sequence, and content; standards and expectations; time; and leadership and funding. Interestingly, the 2007 National Academies of Science report *Rising Above the Gathering Storm: Energizing and Employing America for a Brighter Economic Future* seems to parallel the *Nation at Risk* message and has resulted in programmatic and funding focus on Science, Technology, Engineering, (sometimes Arts), and Mathematics (STEM or STEAM) content and career skills.

If one uses such high level reports as gauges of policy interest, the following topics are of primary interest at this time: STEM, Big Data, Assessments, Science Standards, physical activity and health, interdisciplinary approaches to health, earth science training, and science ethics.

KEY POLICY CONCEPTS, TYPES, MODELS AND ACTORS

One of the difficulties with understanding policy is that there are many ways of representing it and each representation is necessarily partial. Another difficulty is that characterizations of policy do not account for its various nuances (e.g., policy making, policy research, policy study, policy texts, policy actors, policy types). These elements typically do not receive conceptual distinction and, as a result, models conflate their different aspects and contributions. My students report that their readings in policy class leave them "in the forest" or "in the trees." They say textbook treatments are comprehensive, but spread too much information over too many pages so it is difficult to get a general overview of the main concepts. Research articles are too focused on a particular policy type, issue, or outcome so that it is hard to see to what theories or models to which they are connected. Thus, I have found it useful to share some of the more well-known characterizations of policy heuristics in a truncated manner to provide an initial grounding from which more depth can be pursued. It is this information that forms the basis of this primer.

Another way of conceptualizing policy is through models—illustrative representations of policy elements or processes. An early model, and one that has been rather well-regarded, is Lowi's Policy Typology (1962, 1975), which advanced four policy types in the context of government's coercive power—distributive, regulatory, constituent, and redistributive. *Distributive policies* spread services and goods, as well as costs, across a group. Welfare, public safety, and education are the result of distributive policies. *Regulatory policies* curtail the behavior of individuals and organizations in order to promote the public good. Food health regulations, car seat regulations, and regulations against urinating or spitting in public spaces are examples of regulatory policies. *Constituent policies* propose limited change that affect and/or are supported by a small and specific sector of society (constituents). Policies that allow non-profits tax breaks on property taxes are constituent policies as are policies for mandatory school prayer. *Redistributive policies* do just that: redistribute goods, services, or wealth on a large scale.

There are many different types of policy models, however, and different authors provide different treatments of these—descriptive, normative, verbal, mathematical, symbolic, material, substantive, procedural as well as models of policy decision making and models of policy change (e.g., Dunn, 2013; Stewart et al., 2008) *Descriptive models* seek to describe or predict a policy phenomenon based on data. *Normative models* are typically descriptive, but are distinct in that they offer suggested solutions. *Verbal models* posit their findings and notions in word-based statements while *mathematical models* use mathematical formulae and calculations to posit theirs. *Material models* focus on tangible goods and services while *symbolic models* focus on intangibles such as status or power. *Substantive models* highlight policy content/

substance while *procedural policy models* highlight policy processes/procedures. Two models of policy decision making that focus on how power is wielded among decision makers are the *elitist model* and the *pluralist model* (Dye, 2000; Dahl, 2000). The former model posits that policy decisions and outcomes are primarily developed among a social elite that has economic and political and/or bureaucratic power. The latter model is premised on the notion that individuals wield power in fluid and situational relation to particular policy issues and actors.

Rational approaches dominate decision making models. *Economic rationality* in decision making holds that policy actors will always weigh evidence and make the decision that will benefit them economically. Simon (1976) tempered this with a model of *bounded rationality* where people make decisions on the partial data available with an eye toward a result that is adequate, not perfect, and not necessarily only economically informed. Models of policy change also use rational choice theory as a point of departure and range from *highly rational models* (e.g., change takes place after rational assessment and determination of options), *bounded rational models* (e.g., change occurs based on "best guess" scenarios of assessment and determination), to *incremental models* of "successive limited comparisons" (Lindblom, 1959) (e.g., sets of shorter-term decisions that build into broader long-term solutions) and models of *punctuated equilibrium* (Baumgartner & Jones, 1991) (e.g., social change occurs in bursts).

In the case of models of the policy process, some conceive of it as a set of stages or cycles (Anderson, 2011; DeLeon, 1999; Jann & Wegrich, 2006; Sabatier, 1999; Stewart, Hedge & Lester, 2008), as evolutionary (Stewart et al., 2008; Wilson & Gowdy, 2013), as a socio-biological ecology (Weaver-Hightower, 2008), and an ecology of games (Firestone, 1989). For the purposes of this primer, I would like to highlight the model that tends to dominate in the literature, the policy cycle model.

The policy cycle model consists of successive stages of the policy process: 1) *agenda setting,* where policy actors advocate for particularly policy issues and get them "on the table" for discussion and action; 2) *policy formulation,* where policy solutions are crafted to address the policy problems on the agenda; 3) *policy implementation,* where policies are put into action in real contexts; 4) *policy evaluation,* where policies and their implementation are critically reviewed and monitored to gauge impact and encourage mid-course correction, if necessary; and 5) *policy change and termination,* where the data-based information derived from evaluation activities is applied to improve a policy and its application or terminate it because it is no longer necessary in its particular form.

There are many models of policy analysis, as well. Policy analysis is the set of approaches and activities that comprise the critical exploration of information relevant to the development, implementation, assessment, and redirection of policies. Policy analysis involves identifying and bounding policy problems and researching the literature and empirical data to inform decision making and policy development, evaluation, and change processes. Patton, Sawicki, and Clark's (2013) six step model of policy analysis is well recognized and contains the following steps: 1) verify, define and detail the problem; 2) establish evaluation criteria; 3) identify alternative policies; 4) assess alternative policies; 5) display and distinguish among alternatives; and 6) implement, monitor, and evaluate the policy. While research and data gathering is not well-represented in these steps, rest assured it is an integral part of the process. Patton et al. (2013) distinguish between time/resource constrained "basic" analysis and "researched" analysis that is able to take more time to gather information and apply it to decision making.

All of these policy models assume policy actors are advancing the work; yet, because educational leadership students do not necessarily know how government, non-profit, and/or corporate organizations are structured and which actors and organizational offices do what types of work, it is hard for them to conceive of the wide range of policy actors involved in the various policy processes. Fowler (2009) does an excellent job of detailing education policy actors at the state level. She focuses on state level actors because, as noted earlier "education is a domain that is reserved implicitly to the states by the 10th Amendment of the U. S. Constitution" (p. 140). Breaking policy actors into government and nongovernment actors, Fowler outlines the roles and responsibilities of the former as Legislature (Senate and House of Representatives and their various committees, such as the Education Committees); the legislative staff (clerical staff, professional staff, centralized staff agency); the State Executive Branch (Governors, State Boards of Education); local government actors (local Boards of Education, Superintendents); the Chief State School Officer (CSSO); the State Departments of Education (SDE); and the Judicial Branch (state court systems, judges). Fowler lists nongovernment policy actors as interest groups (interested in educational or non-educational issues); policy networks (interest of professional coalitions); policy planning organizations (think tanks, policy entrepreneurs); and the Media.

Fowler (2009) accounts for "Big 'P'" policy actors at the state level. She, and others, do not focus on local (e.g., municipal/district and building) policy actors and activities that most closely affect district workings, school conditions, teacher quality, and student outcomes. Interestingly, the literature typically does not figure this activity in the U.S. as "policy." Rather, local policy activity and actors are explored in texts and articles on educational "politics" (Frist & Wirt, 2009; Spring, 2011) or district-focused cases (Sykes, Schneider, & Plank, 2012). Considering the policy models and actors specific to municipalities and districts is beyond the scope of this chapter. Suffice it to say, however, this is an area that needs to be more integrally connected to the broad study of educational policy and not bounded in cases and/or accounts of partisan political struggle.

" … if public policy programs focused on teaching techniques to create more contextually rich 'maps' for understanding the conditions that influence the [policy] problem, as well as devoting more attention to defining the [policy] problem, the [policy] solutions for consideration would be more appropriate for the [policy] problems defined" (deLeon & Steelman, 2001). In this section, my intent was to provide a mid-level overview of key policy concepts, types, models, and actors—a rich, albeit schematic "map"—so that educational leaders can sit high in the trees and also see the forest.

POLICY LITERACY FOR EDUCATIONAL LEADERS

In a recent study, a graduate student and I undertook of the educational policy content of the 092 Administrative Certification, 093 Superintendent Certification, and Sixth Year courses in our department between 2010 and 2013. We reviewed all course syllabi and found that most courses did not have explicit units relating to policy, or explicit mention of policy in their syllabi (Arafeh & Pember, 2013). The only evidence of policy curriculum we found was in the one required Education Law course. I know for a fact that professors and adjunct instructors are teaching about policy and policy intersections in their courses. However, in our program, as in many, the curriculum scope and sequence does not currently include assurance of policy content throughout all courses as appropriate to their primary topics and in ways that ensure such policy knowledge is scaffolded and spiraled among and across courses. Policy knowledge is, thus, instructor-dependent. And yet, the world of educational leadership, and the relevant content within the educational leadership planned program, is premised upon and understanding that, as an educational leader, you will be responsible for understanding and upholding many different types of policies. Policy knowledge is crucial, and yet many of my students are not clear about U.S. government structures, do not know the difference between law and policy, do not know how legislation is made, and do not know the various ways in which they can participate in, and influence, policy and legislative debates—even in their districts and schools.

I have taught both academic and vocational subjects to students across the lifespan. In my experience, the worst thing a teacher can do is try to teach someone something when it is clear that they do not have the foundational conceptual or technical knowledge and skills on which to scaffold the new information. It is for this reason that I believe this policy primer is crucial for educational leadership students. As they move into leadership, they are—at the very least—required to interact with and uphold building, district, state and federal policies daily. Yet, many new leaders have no sense of where these policies come from; the policy problem back stories of why they have been put in place; the varied and differential impacts they necessarily have on colleagues, parents, and students; or the agency that they themselves might have in implementing or enforcing a policy, or working to change it or develop it anew.

Educational leaders need "political literacy"—and, I would argue, the subset of this, "policy literacy." Both should play an integral part of educational leadership programs and courses. This is something that the field will need to discuss and debate, the federal government will need to decide upon whether funding should be contingent upon it, and the accreditors will need to decide whether it will constitute one criterion or multiple criteria.

In the meantime, if your educational leadership program does not explicitly teach policy content, or if you are a current or burgeoning educational leader who wants a broad overview of key policy concepts and analytic approaches, this primer should be helpful as a way to get a grounding so you can begin improving your policy literacy on your own. And, for now, that is where the differentiation among different types of leaders comes in: you will seek policy actors and policy knowledge relevant to your particular educational leadership position. How educational leadership programs will better differentiate among their diverse students when it comes to policy knowledge and skill is another area ripe for research and will remain to be seen.

NOTES

1. As part of this work, I am collecting information about how educational leadership programs are incorporating policy knowledge and practice. If you or a colleague would be interested in sharing information, please contact me at arafehs1@southernct.edu.

2. It should be noted that this study did not enquire about educational leaders' policy knowledge or engagement and whether this might be a predictive or causal factor in school improvement and a supportive and effective learning climate. I would argue that the policy knowledge of educational leaders is a gap in the research and an area ripe for further study.

3. "The University Council for Educational Administration is a consortium of higher education institutions committed to advancing the preparation and practice of educational leaders for the benefit of schools and children" (UCEA, 2013).

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Chapter Two

The Central Role of Learning Theory in School Leadership

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VALUE OF LEARNING THEORY TO LEADER BEHAVIORS

Traditionally, learning theory has been emphasized in teacher preparation programs as it has obvious direct implications for classroom instruction and student learning. While learning theory has been primarily taught to support effective instruction, it has not been highlighted as a key factor in school leadership. This chapter focuses on how theories of learning can serve to help school leaders not only in their leadership roles of evaluating student learning and effective classroom practices, but also in their roles of supporting processes of school improvement. It advocates the need for explicit application of several principles of learning theory throughout preparation programs for school leaders. Additionally, it shares the reflections of candidates in a leadership preparation program on the benefits of unpacking learning theory as it relates to school leadership.

Since schools are about learning, every aspect of a school leader's role should be driven or informed by learning theory. The thesis here is that there are critical classroom instructional implications for learning theory and, at the same time, the implications for school management and organization are just as vital. The context or school environment (i.e., the culture and climate in which learning occurs) must be consonant with the principles of effective learning, both pedagogically and andragogically. School leaders with a substantive understanding of learning theory are in a better position to effectively evaluate learning and teaching in the classroom. They are also better equipped to provide and support appropriate professional development to meet the learning needs of both students and teachers. At the same time, one must be cognizant that learning is not devoid of context; hence, the mission, vision, culture, and the climate of the school must be well aligned with what we know of learning and context.

A strong knowledge base in learning for both children and adults, and use of that knowledge in various leadership roles, are both required for high performance in teachers and students. Whether the issue at hand has to do with developing a shared vision, establishing school goals, shaping school culture, attending to safety issues, engaging families and stakeholders, or advocating for policies; school leaders are responsible for helping students achieve at high levels. Hence, when the management and organization of a school is driven or informed by learning theory, actions are more likely to engender an environment in which everyone is focused on learning.

In instructing graduate students in a leadership preparation course, this premise of operating from a base of how learning occurs is ideal for initiating or exploring deeply the shift from teacher thinking to thinking like a school leader. The centrality of learning theory revolves around the fact that schools are about learning; however, when asked why will a leadership development program include a course on learning theory, students initially cannot think of any reason for a course in learning theory in a leadership development program. Upon further probing, some will admit that learning theory is important in this context for instructional purposes (i.e., to help the school leader in his/her evaluative role). Candidates for certification in school leadership often mention that they have already taken learning theory in undergraduate or graduate school. What is important at the level of leadership training is the ability to define learning, understand how it occurs, and unpack the attributes of learning so that school leaders operate from a learner-centered core of knowledge in leading the school as an organization for learning.

Having knowledge of the various theories is important; however, an in-depth understanding, or a solid knowledge base of, how learning occurs and the implications for instruction, as well as the implications for school leadership, are vital. The key here is moving from just having knowledge, or, as Sun, Slusarz, & Terry (2005) term it, “declarative knowledge,” to making knowledge usable, or what we would call “usable knowledge.” Here, prospective school leaders learn to utilize not only the attributes of learning theory, they also learn how to put them into practice in their classrooms.

In our course on learning theory, the teaching approach emphasizes self-directed learning, peer-assisted learning, and reflective practice. Divided into two broad segments, the first part of the course is focused on building or expanding participants’ knowledge base on how learning occurs. It focuses on the attributes of learning such as the roles of memory, motivation, transfer, and self-regulation. Students are asked to identify these attributes in several short video clips and to practice utilizing and observing several attributes of learning in their own classrooms. Additionally, participants are asked to examine the implications for leaders, not only in instructional leadership, but also in leading the school (e.g., in shaping school culture or sharing the vision of the school).

The next segment of the course asks participants to develop, in small groups, a presentation that demonstrates their understanding of the implications of learning theory in school leadership by comparing and contrasting two learning theories. These presentations must be conceptually strong in that they address key issues in learning (such as motivation, transfer, self-regulation, memory) for both pedagogy and andragogy. Each participant concludes the course by writing a three-four page reflection paper.

As candidates in our school leadership development program gain deeper understanding of how learning occurs, they report making changes to their own teaching in their classrooms, and a better understanding of the implications for leading. As one class participant noted,

> I entered this course believing that I had a thorough working knowledge of these theories and an understanding of what my own personal teaching style is in the classroom. Throughout this course, I have learned my outlook to be narrow and less informed based on what I previously understood. As a teacher and learner, I now understand that I practice a blend of both the constructivist and behaviorist approaches. This course has helped me to glean a more definitive understanding of how learning is occurring in the classroom I have put this new knowledge into practice within my own classroom. My post lesson self-reflection now includes the question, “how do I know learning occurred today?” This additional question is one that benefits me as a teacher as well as a future school leader since I will be expected to evaluate if learning is occurring within the classrooms I observe ... My focus has become more centered on recognizing how to plan in advance to provide diverse learning opportunities within my own classroom (Rao, 2012 p. 2–3).

Of particular note is the fact that program participants make fine distinctions in issues such as motivation, transfer and self-regulation for students in their classrooms. This level of transfer of knowledge on their part is critical to their development as leaders, since it gives them sharper lenses through which to view and assess student learning. It also helps them to better understand themselves as adult learners. Another class participant reflected,

> As an administrator, I now recognize the importance of utilizing the various learning theories when working with my staff. The entire concept, word included, of andragogy, was completely new to me. Understanding adult learning, motivation, and reflection seems practical now, but was not something I had given a great deal of thought to in the past. Providing professional development is as far as I had gotten in the andragogy arena. I see the importance of adults needing to understand the usefulness of knowledge to increase their

> motivation to learn it. I realize now that I am exactly like that. I do not enjoy participating in activities that have no purpose or which people have not thought through. As a leader, I think of when I might need to present the staff with a change in routine or a presentation of new procedures. Sharing with them why this is important information and how they will see its value immediately should go a great distance towards their motivation to learn it. Allowing them to problem solve with the new information (how might these new procedures be applied to different situations, how might we streamline them) will give the adults some ownership and will increase their knowledge of the new information. This seems logical to me now, but four months ago it was absent in my mindset as a leader (Dielman, 2012, p. 2–3).

An aspect of learning of particular importance in adult learning is the concept of "transfer of learning." A challenge for our educational leadership students, as they assume leadership roles, will be to utilize this concept of transfer of learning in helping their teachers grow and develop. According to Allen (2007), transfer of learning is a crucial piece of leadership development often left unplanned. Caffarella (2002) as cited in Allen defines transfer of learning as "the effective application by program participants of what they learned as a result of attending an education or training program" (p. 204). Allen further cites Phillips, Jones, and Schmidt (2000) to say that learning does not transfer to the job in 90 percent of cases. If true, this is a staggering number for those involved in leadership development. Planning for transfer of learning at all levels of programming is a crucial step in the leadership development process. It is an important concept often overlooked by architects of leadership development interventions. If the assertion made by Phillips, Jones, and Schmidt (2000) that learning does not transfer from training programs to the job in 90 percent of case holds, then there is much work to be done in our leadership programs, particularly in make more explicit the andragogical underpinnings of learning.

It is important for school leaders to have a working knowledge of the three basic broad learning theories, Behaviorism, Cognitivism, and Constructivism, and their implications for both pedagogy and andragogy primarily because adults and children learn in different ways and a leader with depth of knowledge and understanding of the diverse ways in which learning occurs is better able to maximize learning opportunities to guide faculty and students. Schools are essentially about learning. A cursory understanding of learning does not enable one to give the same quality of input and feedback to improve teacher and student growth as would a deep level of understanding of learning. The ability of educators—teachers and leaders—to unpack how learning occurs is likely to yield qualitatively different feedback to benefit classroom results. Consider the following two educational leadership student reflections:

> I feel I now look at lessons in a very different way. Previously, I felt that I was always focused on the teacher's instruction. Now I find myself thinking about an assortment of questions, especially these three: What is learning? How do we know learning is taking place? What ways does the teacher demonstrate that he/she understands his/her students as learners? I never realized how much more information there was to see within a lesson. The videos and project allowed me to see a much bigger picture and opened a door to a future school leader that I never imagined possible. I've always been aware of different teaching styles. However, I had never seen some of them used before our video observation and class projects (Bello, 2012, p. 2).

> This course has caused me to reconsider my practices, not because they were not working, but because I need to understand them on a deeper level if I am to become better. Now, I feel I will also be in a better position to mentor newer teachers as I move further into that role in my current placement (Doyle, 2012, p. 4).

It is also vitally important that school leaders are aware that there are theories to which they ascribe, or have a bias toward, since no single theory can effectively guide all learning. One of the main reasons this is important is that leaders with a bias toward a single theory of learning are more likely to use that as the only lenses through which to evaluate teaching and learning. Since learning is demonstrated in many different ways, and can be accomplished through diverse strategies; knowledge, deep understanding, and use of various learning theories puts the leader in a better position to facilitate the growth of diverse faculty. To this end, leaders can help teachers broaden their knowledge base in ways that can expand their repertoire of teaching skills for better impact on student learning.

Invariably, some graduate students are proud of the fact that they are constructivists or cognitivists (usually very few, if any, seem to admit to being behaviorists). However, when one subscribes to a single theory, s/he runs the risk of running into conflict with teachers whose theoretical orientations differ. In a classroom evaluation scenario, such polarized orientations can be problematic not only for the teacher but also for students and their learning. Furthermore, understanding the basic theories of learning helps the leader to identify classrooms in which a single theory is being used to the exclusion of others when an eclectic approach may better engage a wider range of learners.

Beyond the basic understanding of these major theories, some attributes of learning are worth unpacking in depth and targeted for transfer for immediate use in their classrooms as well as for future use as school leaders. These include motivation, transfer and self-regulation. While it is beyond the scope of this chapter to discuss these attributes of learning in detail, we discuss with respect to students' reflections on the impact they have had on their work and learning.

PEDAGOGICAL IMPLICATIONS OF DEEP LEARNING THEORY KNOWLEDGE

School leaders can, and should, apply knowledge of learning theory to a school's instructional mission to help all students learn. This requires the ability to identify when learning is taking place. In the supervisory role, a school leader who understands learning, the attributes of learning, and critical factors in learning is able to unpack, with teachers they observe, the nuances of moving students to a new level of learning or, as Vygotsky (1978) terms it, their zone of proximal development. A class participant who reported on how the course made a difference in his teaching practice, noted:

> Perhaps the most significant insight I gained this semester was the simple truth that Dr. Richardson uttered to us in class on February 7: "Students pay attention to other students." Attention to this fundamental idea can make all the difference in the classroom and school environment. Whether using student peer models in a social cognitive based activity or engaging in collaborative ZPD constructivist conversation, teachers who are aware of the powerful influence students have on their peers can harness that energy for the directed purpose of learning. Students engaged in collaborative efforts dynamically and reciprocally motivate each other; they accomplish more personally meaningful learning, and they gain greater self-efficacy as they strengthen and more deeply internalize the processes of self-regulation. This insight, combined with an empathetic appreciation for the cultural and pedagogical diversity evident in the uniqueness of each student in the classroom (and by extension, every member of the school community), provides instructors and leaders with the ability to better connect with the students in their care. These connections have deepened my awareness of motivational and pedagogical processes, directly impacting my current ability to provide appropriate and effective instruction for all learners in the classroom (Cooksey, 2012, p. 2–3).

When evaluating teaching and learning in classrooms, school leaders need to be able to identify factors that affect motivation, transfer and self-regulation in student learning. Factors such as task design, distribution of authority, recognition of students, grouping arrangements, evaluation practices and time allocation (Epstein, 1989), and strategies that utilize Vygotsky's (1978) zone of proximal development, are vitally important for optimal student learning. Teaching approaches in which teachers use materials in such a way that learners become actively involved in their learning and intentionally engage in private speech and socially-mediated learning (Berk, 1986; Frauenglass & Diaz, 1985) are particularly beneficial for students who experience difficulties to help them stay on task and to build their self-efficacy. Self-regulation and the coordination of cognitive processes such as planning, synthesizing, and formulating concepts (Henderson & Cunningham, 1994) are also critical attributes of learning which when attended to in the teaching and learning process helps keep students engaged in their intellectual development. School leaders adept at recognizing these key attributes of learning are in a better position to help facilitate teacher reflection and teacher growth and increase their repertoire of teaching skills by making fine distinctions in their work. Used together with strategies such as problem-based learning, peer-assisted learning, discussions, debates, and inquiry teaching; students' needs are more likely to be explicitly addressed.

With a knowledge base that includes how students are motivated to learn, to transfer their learning, and to self-regulate; school leaders are able to help teachers make incremental improvements in teaching and, over time, expand their repertoire of teaching skills. When school leaders are able to help teachers make fine distinctions in factors that affect motivation and learning, a wider range of students are likely to be more engaged in their learning. When school leaders are able to process with teachers, or facilitate reflection on the attributes of learning, teachers are able to make modifications that enhance student learning. Issues such as goal setting, self-regulation, and motivation can be examined in detail for different stages built into learning, not only at the beginning but during and at the end, so the lessons are structured to sustain student motivation throughout the lesson.

Transfer, which involves using information in new ways or in new situations, is also a critical factor in learning. According to Phye (2001), transfer applies to strategies as well as to skills and knowledge. With this in mind, teachers preparing to become school leaders begin making the distinction that focus needs to be placed on teaching for different types of transfer and determine or plan multiple opportunities to do so. In addition to motivation and transfer, self-regulation—the process whereby students personally activate and sustain behaviors, cognition, and affects that are systematically oriented toward the attainment of learning goals (Zimmerman & Schunk, 2001)—could be taught explicitly to students to help them take responsibility for their learning. In a similar vein, helping teachers engage in reflective teaching can engender self-regulation on their part. Observational learning through modeling is a key example of an area in which candidates in our leadership preparation program report making fine distinctions in their own classroom practice. As one class participant commented,

> Based on our understanding of learning and the diversity of learners, we can best serve our students by putting into practice the concepts of active engagement, differentiation, multiple learning styles, scaffolding, zone of proximal development, modeling and self-efficacy. Now in my twentieth year of teaching, while I have been mindful of these concepts prior to taking this course, I am happy and proud to share that by addressing and incorporating these ideas much more explicitly in my instruction, I have truly grown and become a better teacher as a result of my learning in this course (Tokarska, 2012, p. 3).

Among the distinctions made were: knowing that different types of models may result in different kinds of learning, and deciding when to use mastery models or coping models. While the value of learning theory for student learning is usually readily evident to students in our leadership preparation program, the benefits for adult learning seems much less so. However, a sound understanding of how children learn (pedagogy) coupled with how adults learn (andragogy) can contribute immeasurably to building a climate and culture of intellectual engagement in the school. As school leaders know from their supervisory and assessment duties of their roles, their teaching and administrative staff are at different stages in their careers and require professional development that is often personalized to meet their needs. A priority for an effective school leader should be to inspire and provide opportunities for staff to meet their own learning needs and the learning needs of their students.

ANDRAGOGY AND ITS IMPLICATIONS FOR SCHOOL LEADERS

Andragogy, the study of how adults learn, is an integral aspect of professional growth and school improvement. There are multiple views on traits of the adult learner. Knowles' Theory of Andragogy, based in humanistic psychology, is essentially a model of assumptions about the characteristics of adult learners that are different from the traditional pedagogical assumptions about child learners rather than an actual theory of adult learning (Knowles, 1980). His concept of andragogy profiles the adult learner as autonomous, motivated, and ready to embrace growth-oriented experiential based learning. Goddu (2012) defines andragogy as the process of adult cognition over the content of teaching that builds on the vast background experience of the learners: "[E]ach adult learning theory shares common values such as knowledge and experience" (p. 171).

In establishing a culture of learning and professional development, school leaders who understand and utilize the core principles of adult learning have the advantage of knowing and using knowledge that teachers have already demonstrated, including internal incentives such as motivation, achievement, self-esteem, responsibility and experience. Maaske (1939), a pioneer in adult learning, underscored that learning is not solely a product of the classroom and that learning does not stop at the end of formal education. "Perhaps the most important and controlling basic motive in all adult learning is a desire for self-improvement" (Maaske, p. 184). With this in mind, school leaders can optimize opportunities for teachers to engage in improving their craft with guidance in pursuing deep understandings of how learning occurs not only for students but for themselves.

Experience is identified in the literature on adult education as a major factor in how adults learn. Thus, experience should be applied to learning approaches to professional development. Even when allowing for the variability of experience among teachers, it is still a determinant factor in advancing the role of teachers in professional development. School leaders must recognize that their teaching staff has amassed a myriad of experiences that can contribute to meeting learning objectives and overall school improvement. Therefore, leaders should provide opportunities for teachers to retrieve, reflect, and infuse their experience into the professional agenda and provide context, variability, and personalization for learning success. A note of caution for leaders is that portions of an adult's prior experience may be imbued with bias and presupposition and can influence their learning. Care must be taken by leaders to incorporate opportunities for educators to critically examine, reflect, and contextualize learning. The Foundations of Education Standards (1996) indicates that certification programs for educational leaders should incorporate learning to develop inquiry skills, to question educational assumptions and arrangements, and to identify contradictions and inconsistencies among social and educational values, policies, and practices. As one class participant observed,

> As a past leader, current teacher and mentor, and lifelong learner, I have taken that experience and others, applying many strategies toward effective instruction an analysis of learning. However, this course has strengthened my understanding of how I learn, how I apply what I learn to instruction, and how to make change that will be more impactful in the areas of pedagogy and andragogy. I have implemented strategies from this course with the adults I am supervising. For example, following a lesson, I asked a first-year teacher how she knew learning was occurring. How could she increase her effectiveness for teaching for transfer? For the student teacher who was anxious about getting through content, I encouraged her to reflect more on the process and ways to promote peer-instruction….The experiences of this course have deepened my understanding of the meaning of student learning, effective instruction and constructive supervision for teachers. I am applying the knowledge and skills gained from this course as a teacher in my classroom, a mentor to new teachers, and a colleague to my peers. I have a strengthened desire to apply myself to continual research into learning theories and their attributes, and as a result, to become a more effective and inspirational teacher and leader working with others in the process of student learning (Lepore, 2012, p. 1–3).

In addition to the pivotal role of experience in adult learning, readiness and relevance must be considered in leadership preparation. With all of the reforms in the last few years that have been initiated to improve the schooling and learning processes, teachers and school leaders must constantly update their knowledge and skills. An understanding of the role of standards, high stakes testing, teacher evaluations and the latest in learning research requires educators to be ready to process relevant information that can be applied in their classrooms and schools, especially to solve the problems related to the latest initiatives, learning, and school governance. According to Knowles (1980), adult learners become more problem-centered rather than subject-centered. Of necessity, teachers need to be open and ready to learn content, skills, theories and practices to enhance their understanding of instructional, operational, strategic, political and community leadership that are related to their professional growth. Relevance is important to adult learners to answer the questions of why they need to know and why they need to learn something.

Knowles' (1980) ideas of self-directed, autonomous assumptions about adult learning and Goddu's (2012) three categories of adult learning (e.g., self-directed, experiential and narrative) underscore the significance of how adults learners are self-directed. Knowles (1978) notes, "It is my own observation that those students who have entered a professional school or a job have made a big step toward seeing themselves as essentially self-directing. They have largely resolved their identity-formation issues; they are identified with an adult role" (p. 56). In this age of digital technology, many examples of how teachers are self-directed in learning, communicating, and instructing exists. In many districts, lesson plans are submitted electronically and "public folders" are required to allow access to teaching and assessment. This self-directive posture is an area in which school leaders can capitalize for the purpose of professional growth and development of teachers. When school leaders establish the relevance of new learning they can tap into the self-directed nature of staff to pursue and develop skills necessary to meet the growing needs of their student population.

Among opportunities that exist for teacher learning in a socially mediated manner is the idea of collaboration which essentially is grounded in social cognitive theory. Collaboration is an integral part of the notion of communities of practice and is a vital part in teacher professional development. Wenger (2008) states that groups who share a concern for something they do and learn how to do it better as they interact regularly enrich the experience and have greater outcomes. He further posits that building communities of practice among teachers and leaders is a promising strategy for sustained, significant school improvement. This was clearly attested to by several students in the preparation program. One comment, in particular, reflects on the value of learning together,

> I have previously preferred to work independently on projects, but I enjoyed working with my group to create our presentation … I not only understand the two learning theories, but I feel like an authority of these theories. For example, I have always known that group work is beneficial, but now I understand that it is beneficial because it provides models, accesses the zone of proximal

> development, and requires student to verbalize which can aid in self-regulation as students work to acquire inner speech. I would confidently be able to identify components of social cognitive theory and constructivism in a classroom observation. I have participated in many group projects previously, but this time I was able to identify the benefits of the "collaborative zone of proximal development" while work was in progress. I find myself creating more and more ideas for group work in the classroom and requesting collaborative time professionally (Aguzzi, 2012, p. 3).

Collaboration therefore is not just a nice idea for improving school climate and culture, but serves as a necessary process to engage teachers' experience, sense of self-direction, readiness, and relevance in a way that will benefit the overall learning mission of the school. Context and meaning are critical at all stages of adult learning. Mezirow (2000) notes that in the absence of fixed truths, and confronted with often rapid change in circumstances, we cannot fully trust what we know or believe. This observation provides an opportunity for school leaders to make it possible for their teachers to examine their professional self and learn more about the world in which they function. Knowledge of the world changes at such a fast rate that educators must continuously reassess what is relevant, real and true in their settings. And, this context requires consistent reexamination of one's work which can be facilitated by establishing collaborative processes as a vital part of schooling. For example, a group of teachers may be tasked with examining literature on any given topic of interest to the school, synthesize that information, and bring it to bear on school improvement initiatives.

Teachers participating in cookie-cutter one-day professional development workshops, in which they are lectured with little opportunity to engage, can develop negative attitudes toward adult learning. Gregson and Sturko (2007) conducted a case study of a professional development course that involved both technical and academic teachers creating an integration course on math, reading, and writing that follows the principals of adult learning: a) creating a climate of respect, b) encouraging active participation, c) building on experience, d) employing collaborative inquiry, e) learning for immediate application, and f) empowering through reflection and action. After these units, the teachers worked in collaboration with one another on projects and presentations and were asked to do a survey on learning and collaboration as well as a final reflection paper. The analyzed data found that all six principles of adult learning were involved because the course allowed teachers to share their experiences learning from one another through experimentation and discourse.

The result of Gregson and Sturko's (2007) study points to some caveats for collaboration that should be an integral part of professional development for teachers. It appears evident that teachers felt validated and were able to share their experiences when they engaged in collaborative learning. The teachers reported how they built on their prior experiences through sharing professional knowledge and tips that were useful for immediate application in their classrooms. Additionally, they reported that they were empowered through experimentation and reflection. This case study provides insights for school leaders in applying adult principles to professional development. In the same vein, the collective response of students in the school leadership program taking the course in learning theory, reflect similar sentiments: "Our group work and project presentation preparation has been one of the most personally meaningful learning experiences I have been a part of. Through this process it has become clear that whoever is doing the work is doing the learning. All of us have brought valuable insights, knowledge, and experience to the table.…It has become clear that learning is fostered through social interactions, shared thought, and decision-making" (Brown, 2012, p. 3). And, "I was able to get a better understanding of some of the concepts I did not initially understand by having to work with others and to take responsibility for our own learning" (Rao, 2012, p. 3).

According to Zapada (2003), as instructional leaders, school leaders should provide opportunities for teachers to work together on the basis of needs linked to what is observed by school leaders in classroom observations. Study groups, learning clusters, and mentoring are some of the informal mechanisms used for teachers to work together. Adults as learners are capable of generating new meaning and knowledge through their own cognitive abilities. Effective collaboration is a key process in holding various stakeholders together in working toward school improvement.

LEARNING THEORY FOR SCHOOL IMPROVEMENT AND LEARNING

School improvement requires change, growth, and learning. According to Rakiz & Swanson (2009), school leadership is the critical component of school improvement. From the foregoing discussion, one can see various implications of learning theory for school improvement. As aptly noted by Hord & Roussin (2013), improvements require change and change requires learning. They argue six beliefs are integral in change: 1) all change is based on learning, and improvement is based on change; 2) implementing a change has greater success when it is guided through social interaction; 3) individuals have to change before the school can change; 4) change has an effect on the emotional and behavioral dimensions of humans; 5) people will more readily choose to change when they foresee how an innovation will enhance their work; 6) a change leader's role is to facilitate the conversations that invite others to own the desired change. "Learning is a critical component embedded in the change process. Learning enables people to discard past practices and find new behaviors appropriate for innovation. At the center of all successful implementation of a change is the opportunity for adults to come together and learn. Unfortunately, there has been much change in the past driven by mundane data and hierarchal processes that often leave people feeling used and dispirited by the effort" (Hord & Roussin, p. 2).

When considered together, all six of Hord and Roussin's (2013) beliefs are grounded in learning theory. They address key aspects of learning such as social interaction being vital to the learning process, the emotional component of learning, relevance and how it can engender learning, the value of ownership (i.e., self-regulation, value, goals-setting, motivation and the like). These basic aspects of learning can be intentionally built into all learning activities in a school community. As Jones (2009) suggests, in this era of accountability, the roles of the school leader become critical in exhibiting dispositions associated with instructional leadership for school improvement. These dispositions include a focus on learning as the primary purpose of schooling and knowledge of how learning occurs for both adults and students, and a keen awareness and utilization of and the attributes of learning in all learning endeavors.

Principles of learning theory can help in school improvement; particularly as it relates to developing a shared vision of learning for all, building a culture to support the vision of learning, and establishing a climate where everyone has freedom to learn and to fail. A shared vision for learning for students, teachers, and leaders requires collaboration, collective inquiry, and ongoing monitoring and adjusting. As Owens & Valesky (2011) point out, "the vision that leaders seek to share with followers is a protean thing, continually being revised … One of the pivotal activities of leaders is to engage constantly in the dynamic process of stating a vision of things to come; then revising in light of emerging events, ideas, and beliefs; and the restating the vision of 'where we are and we where we are going' that binds the members of the organization in mutual purpose and resolve. But in all of its iterations, the vision of a leader is always uplifting, pointing to new directions, calling for progress from where followers are to where they want to be, and describing how they will get there" (p. 210–211). They further note that leadership is not a solo performance. "Vision building is not always a placid process but also often requires engagement with different worldviews of people in the group, different temperaments, different personal agendas, different levels of understanding, different hopes and aspirations, and different pedagogical approaches. The school leader, then, must demonstrate convincingly an interest in promoting collegiality and shared leadership, an interest in shifting the norms of the school's culture from the traditional to more collaborative ways of working together" (p. 212). These are learned behaviors. They require school leaders to be continuously engaged in shaping where things are going for the school as a whole.

In addition to the collective effort of developing a shared vision and shaping a culture of learning, a vital part of the school leaders' responsibility in striving for school improvement because school culture has an impact on the learning of both adults and students.

The Connecticut Common Core of Leadership Performance standards, address the need for school leaders to have a high degree of knowledge in both the teaching and learning processes. "Teaching and learning education leaders ensure the success and achievement of all students by monitoring and continuously improving teaching and learning in developing a strong professional culture which leads to quality instruction focused on student learning and the strengthening of professional competencies." Common Core of Leading (2013) Connecticut School Leadership Standards (CCL-CSLS).

Ideally, the school culture is focused on learning where, through pedagogy, students are explicitly taught strategies on how to learn and, through andragogy, teachers' learning needs are taken into consideration. While these attributes of learning are easily seen as necessary for student learning in the classroom, they are equally valuable for use in the professional development of teachers. Motivation, transfer, and self-regulation would provide a deeper understanding of the underlying principles and concepts related to teaching and learning to help students achieve at higher levels. Thus, school leaders are focused on not solely the content of teacher learning, but also on the process paying attention to strategies that engender motivation, transfer, and self-regulation. With this in mind, issues such as values scaffolding and self-efficacy are addressed. When teachers understand and are focused on their own learning, their reflection on practice and their collaboration with other teachers are likely to be greatly enhanced and this can positively impact the culture of the school. As one student in the preparation program commented,

> As instructional leaders, administrators must be well-versed in teaching and learning, with respect to pedagogy and andragogy. As coaches/mentors/supervisors, they must view teachers as learners. In order to provide meaningful feedback, school leaders must be able to recognize when learning is taking place and support teachers' efforts. To promote continuous growth, school leaders must provide meaningful professional development and encourage reflective teaching. Moreover, school leaders must be reflective practitioners themselves….The school leader's understanding of learning affects the vision, mission, values, goals, culture, climate, policies and practices. Fostering a collaborative culture and a positive climate supports learning for all. The central responsibility of the school organization is to facilitate the learning of each member, creating a professional learning community" (Tokarska, 2012, p. 4).

Purkey & Smith (1985) point out that the most persuasive research suggests that student academic performance is strongly affected by school culture. This culture, they note, is composed of values, norms, and roles existing within institutionally distinct structures of governance, communication, educational practices and policies and so on. Further, successful schools are found to have cultures that produce a climate or “ethos” conductive to teaching and learning. Efforts to change schools have been most productive and most enduring when directed toward influencing the entire school culture through strategies involving collaborative planning, shared decision making, and collegial work in an atmosphere friendly to experimentation and evaluation. Schein (1985) describes culture as developing over time and acquiring deep meaning of shared philosophies, ideologies, values, beliefs, assumptions, attitudes, expectations and norms that bind the people in the organization together. Essentially, it is a result of learned patterns of behavior that shape the experience of the people in the organization.

In conclusion, several key aspects of learning theory, when applied consistently in leading schools, can help school leaders maintain a focus on learning for all in their daily work. Motivation, transfer and self-regulation are factors in learning which when understood and explicitly utilized in attending to pedagogy, andragogy, as well as the overall culture and climate of the school can potentially positively impact school improvement. Two class participants summed it up:

> It has become clear that as school leaders it is vital to have a deep understanding of learning theories and how to apply these theories into practice. Clearly, learning, teaching, and leading are all connected. School management and organization use constructivism in creating a vision including all stakeholders. Modeling and living the vision require the use of social cognitive theory influencing culture, climate, curriculum, school improvement efforts, professional development, and student achievement. As school leaders it is important to have tools and know how and when to use them. It is often the marriage of learning theories that optimizes learning for all (Brown, 2012, p. 3).

> I had previously thought that learning theory was only important to my role as a teacher, but this course has enabled me to see that understand learning theory is a way for an administrator to develop the culture and climate within a school. In addition, it is a way for an administrator to truly asses if learning is taking place within a classroom. I have a better understanding of myself as a teacher but also as a team leader. I strive to guide my teammates in applying a variety of learning theories within the lessons as I now recognize that all theories play a vital role to learning not only for students but also for adults (Rao, 2012, p. 4).

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Chapter Three

Leadership for Academic, Social, and Emotional Learning (ASEL)

Norris M. Haynes

For many school leaders, their strongest imperative is to improve the academic achievement of their students. They are often driven by the student performance mandates set by their states and school districts. This far too often leads to a restricted view of student learning that focuses much too narrowly on test performance. Yet, students' academic learning does not happen in isolation from their social and emotional interests and concerns. Current schooling practices in which social and emotional learning (SEL) and academic learning are treated as separate and distinct forms of learning do not serve students well. Given the emerging evidence that, within the brain, emotional and cognitive processes are interdependent and intertwined, it seems to make practical sense that, in schools and classrooms, cognitive content (academic) and SEL competencies (social and emotional) should be integrated in curricula, instruction and assessment processes, truly reflecting the integration of academic, social and emotional learning (ASEL).

The purpose of this chapter is fourfold, reflecting, in part, Diffley's (2006) readiness levels discussed in Chapter 8. First, this chapter seeks to increase educational leaders' awareness of the importance of ASEL by providing a comprehensive overview of academic, social and emotional learning (ASEL) as an important and, perhaps, indispensable way for educational leaders to regard teaching and learning in schools. Second, it seeks to increase knowledge by discussing the neuro-scientific evidence that supports the connectedness among academic, social and emotional learning. Third, this chapter strives to increase ASEL leadership performance among educational leaders by sharing ideas and strategies for advancing and supporting the teaching of ASEL skills and assessing ASEL performance. Fourth, the author discusses the impact that ASEL-driven educational leadership can have on students' development and achievement and on the educational enterprise as a whole. The author addresses how educational leaders may be best prepared to support present and future assessments of ASEL as a critical aspect of present and future student performance assessment frameworks. He presents an ASEL assessment conceptual framework that he calls the *Comprehensive Pathways Assessment System (CPAS)* for consideration by educational leaders.

The author recognizes that a discussion of the educational leader's role in the assessment of ASEL cannot be constructively considered without first exploring what ASEL is and why it is important. ASEL is conceptualized in this chapter as an interconnected, interlocking and interdependent set of learned competencies that must be taught and assessed in an integrated and developmentally appropriate way. The ASEL acronym recognizes and reinforces the important interdependence of the three domains it represents: academic, social and emotional. Over the past decade or so the interconnectedness among students' academic, social and emotional learning has become a significant, and perhaps essential, factor in any serious discourse about improving student's school success. Educational leaders must be at the forefront of this awakening.

OVERVIEW OF ASEL

Educational leaders must become much more aware of what ASEL is and why it is important. The overview of ASEL serves as a basis for understanding the rise of the importance of ASEL in considerations of teaching and learning in schools and in the examination and understanding of students' performance levels. ASEL, incorporating the academic dimension, is an extension of SEL, which grew out of the groundbreaking work by Goleman (1995) on emotional intelligence or EQ. Goleman asked and answered two basic and compelling questions about the most essential factors that contribute to success in school and in life. He noted:

> What can we change that will make our children fare better in life? What factors are at play, for example, when people of high IQ flounder and those of modest IQ do surprisingly well? I would argue that the difference quite often lies in the abilities called here emotional intelligence, which include self-control, zeal, and persistence and the ability to motivate oneself. And these skills, as we shall see, can be taught to children giving them a better chance to use whatever potential the genetic lottery may have given them" (Goleman, 1995, p. xii).

Elias, Arnold & Hussey (2003) noted:

> If IQ represents the intellectual raw material of student success, EQ is the set of social-emotional skills that enables intellect to turn into action and accomplishment. Without EQ, IQ consists more of potential than actuality. It is confined more to performance on certain kinds of tests than to expression in the many tests of everyday life in school, at home, at the workplace, in the community (p. 4)

Some research studies also indicate that EQ can be equal to, or a better indicator of, life success than IQ (Ross, Powell, Elias 2002). ASEL, then, may be viewed as the actuation or activation of EQ in measurable and teachable skill sets that "enable the successful management of life tasks such as learning, forming relationships, solving everyday problems, and adapting to the complex demands of growth and development" (Elias, Zins, Weissberg et al. 1997, p. 2).

The Collaborative for Academic, Social, and Emotional Learning (CASEL) and others have identified five groups of inter-related core academic, social and emotional competencies that (ASEL) programs should address and that can and should inform the strengthening and development of more robust assessment tools. When students practice these five basic ASEL principles and integrate them effectively into their educational experiences, they are highly likely to enjoy a successful school experience. The ASEL competencies are:

- Self-awareness
- Self-management
- Social awareness
- Relationship skills
- Responsible decision making

Self-Awareness: Involves being able to identify and describe one's feelings, needs, desires and motivations. For example, a student who is being called names and is being picked on by his peers is able to recognize his/her feelings of sadness and describe what it feels like to be picked on and called names. He/she will also be able to think about, and express, a different narrative about him/her that reflects who he or she truly is as a person. Also, a student who is more aware of his or her learning needs, and academic strengths and weaknesses, is a student who is perhaps much better positioned to maximize strengths and to seek and to get the help needed to remediate weaknesses. Thus, this student is more likely to succeed academically than if he/she did not practice the required self-awareness.

Self-Management: Involves the ability to monitor and regulate one's feelings and one's behavior. A student who practices effective self-management is able to monitor and regulate his/her emotions and impulses and demonstrate self-regulatory behaviors. These self-regulatory practices may include, but are not limited to: good anger management, effective time-management skills, the ability to establish short and longer-term goals, delayed gratification and the ability to show the self-control and self-discipline needed to succeed academically.

Social Awareness: Involves sensitivity to one's social environment and knowledge of how to recognize, empathize with and respond appropriately to the feelings and behaviors of others. The implications of social awareness for academic success, and as an inherently important aspect of teaching and learning, are significant. Students who are aware of how their behaviors affect others in schools and classrooms, and who are able to regulate and modify their interactions with teachers and other adults in their schools, are more likely to succeed academically than those students who do not practice effective social awareness skills.

Relationship skills: Involve the ability to interact effectively and establish healthy reciprocal relationships with others. Building relationship skills among students in early grades helps students learn how to cooperate with others in performing learning tasks. They develop friendships and avoid negative feelings of being socially isolated which can impact love for school and learning. In high school, relationship skills are critical to gaining acceptance, influencing and leading others and building the kinds of networks that can be very useful beyond high school. Students who are able to work cooperatively with other students, and who respect and are able to learn from adults, are better positioned to succeed academically than students who do not practice effective relationship skills.

Responsible Decision Making: Involves students' making thoughtful, constructive and healthy decisions based on careful consideration and analysis of information. When students make responsible decisions about studying, managing their time well, completing and submitting academic assignments on time, preparing for tests and doing what it takes to succeed in school, they are more likely to experience academic success than if they do not.

NEUROSCIENCE AND ASEL

It is important for educational leaders to be knowledgeable about the connections and interactions among the brain centers that impact, and are impacted by, the academic, social and emotional dimensions of students' experiences in and outside of the school and classroom. Traditionally, approaches studying cognition have emphasized an information-processing view in which the role of emotions has been generally excluded or given scant attention (Gray, Braver, & Raichle, 2001). Recently, the significant contributions of neuroscience in advancing the understanding of human cognition have underscored the cognition-emotions interactions (Gray, Braver, & Raichle, 2001). The evidence is clear and strong that emotions influence cognition and vice-versa. The limbic system has a significant role in the processing of emotions and memory. Specifically, the amygdala, which is the principal structure in the limbic system made up of two almond shaped finger-nailed size structures, helps to filter sensory information and initiate an appropriate response. It influences early sensory processing and higher levels of cognition. The amygdala adjoins the hippocampus, which helps to convert shorter memory into long-term memory and influences its functioning. Thus emotional responses affect memory. Research has shown that the emotional centers of the brain are linked to the cortical areas where cognitive learning takes place (Goleman, 2010). Some individuals suggest that the emotional centers of the brain, in times of stress, tend to "hijack" the cognitive centers of the brain making it difficult for individuals to think, concentrate or problem solve effectively (Gray, Braver, & Raichle, 2001). Sylwester (1995) noted, "far more neural fibers project from our brain's relatively small limbic emotional center into the large logical/rational cortical center than the reverse, so emotion is often a more powerful determinant of our behavior than our brain's logical/rational processes" (p. 3). In other words, the influence of the emotional brain center is greater on the logical cognitive brain center than the reverse. When a child's emotional distress interferes with a child's attempt to learn, the centers where learning occurs are temporarily vulnerable. As a result, the child's attention is mainly focused on the distressful event or situation, rather than what is being taught (Goleman, 2010).

Brain imaging studies provide scientific confirmation of, and underscore, the role that emotions play in cognition. Phelps (2006), in reporting on some brain studies, noted "traditional approaches to the study of cognition emphasize an information-processing view that has generally excluded emotion. In contrast, the recent emergence of cognitive neuroscience as an inspiration for understanding human cognition has highlighted its interaction with emotion" (p. i). She concluded from her review of neuroscience evidence that emotions and cognitions are intertwined from perception to reasoning and an understanding of human cognition requires that emotions be considered. Bush, Luu and Posner (2000) noted that neural-imaging studies indicate that areas of the anterior cingulated cortex (ACC), part of the brain's limbic or emotional system, are involved in cognition. Gray, Braver and Rachel (2001) used functional MRI to test the hypothesis that "emotional states can actively influence cognition-related neural activity in lateral prefrontal cortex (PFC), as evidence for an integration of emotion and cognition." (p. 1). They concluded that "emotion and higher cognition can be truly integrated, i.e., at some point of processing, functional specialization is lost, and emotion and cognition conjointly and equally contribute to the control of thought and behavior" (p. 1). Taken from Sprenger (1999, p. 37).

TEACHING ASEL COMPETENCIES: RATIONALE AND RESEARCH

There is an increasing need and imperative for educational leaders to be able to implement ASEL-driven practices in their schools. School systems across the United States reach approximately 48 million students in both public and private schools every school day. The most impressionable years of students' lives are spent in school. Students and adults spend approximately six hours together per day, five days a week, for approximately 5,400 hours or 180 days a year (DeAngelis, 2010). Therefore, schools and homes are ideal places to address children's development along each of the six developmental pathways through the teaching and learning of ASEL competencies. Ross et al. (2002) noted that the school is an ideal institution for fostering and teaching social behaviors. Many educators at all levels of the educational pipeline, including teachers and other staff in schools, are in fact increasingly recognizing the significant relationship between ASEL competencies and academic performance and are emphasizing and encouraging the teaching ASEL competencies. Many other educators and staff in schools unfortunately have not yet appreciated the linkage between ASEL competencies and academic performance or, if they do, feel subjected to pressure to use quick fixes to increase students' performance on achievement measures. Still, the data show that large numbers of students engage in social behaviors that place them at risk for school failure. For example, it is reported that approximately 30% of high school students report engaging in risky behaviors such as violence and substance use (DeAngelis, 2010).

The implementation of ASEL programs in schools can be an effective strategy to prevent against emotional and behavioral problems among students (Caldarella et al., 2009). ASEL competencies help lower the occurrence of high-risk behaviors and empower students to deal effectively with daily social and academic challenges (Goleman, 2010). DeAngelis (2010) noted, "while ASEL programs vary somewhat in design and target different ages, they all work to develop core competencies: self- awareness, social awareness, self-management, relationship skills and responsible decision-making" (p. 46). Research has shown that some ASEL programs are effective in facilitating academic learning (Goleman, 2000; Zins et al, 2004). ASEL programs are extremely versatile and can be implemented in many different environments including home and school (CASEL, 2000–2010) and with children of varying ages as well as with adults. ASEL programs can be used with children who attend public or private schools as well as with children who are home-schooled. ASEL programs can be incorporated effectively into existing school curricula and initiatives (Devaney. et al., 2006; CASEL, 2000–2010).

For those ASEL programs that have established assessment measures, the growing evidence seems to indicate a clear linkage between growth in ASEL competencies and improvements in academic outcomes. Zins et al (2004) provided what may be considered one of CASEL's seminal authoritative publications. In this book the authors established clear and strong linkages between ASEL competencies and academic achievement. The authors examined the relationships between social-emotional education and school success. They focused specifically on interventions that improve student learning. They provided scientific evidence and examples that support the important impact of ASEL on academic achievement by helping to build skills connected to cognitive development, achievement motivation, and positive interpersonal relationships.

A research synthesis of 300 studies of ASEL programs showed that ASEL considerably improved children's performance on standardized tests. In contrast to students who did not receive the ASEL implementation, students in the ASEL programs had better school attendance, less disorderly behavior, enjoyed school more, did better academically and had fewer suspensions from school. It was concluded that ASEL improves children's relationships with others, motivates them to learn, and is effective in reducing disruptive, violent, and drug using behaviors (CASEL, 2000–2010). A meta-analysis of 213 ASEL programs showed that students who participate in ASEL programs score 11 percentage points higher on achievements tests compared to students who did not participate in ASEL programs (DeAngelis, 2010). Taylor and Dymnicki (2007) analyzed a subset of 34 studies looking at the effects of ASEL on students' grades and performance on achievement tests. The results showed that ASEL improved students' school functioning with effect sizes (ES) ranging from 0.20 to 0.39 on positive social behavior, attitude, discipline, attendance, grades and achievement tests (Taylor & Dymnicki, 2007).

Another recent meta-analysis of 200 studies evaluated the efficacy of ASEL programs and showed that the students who participated in ASEL programs did better in school and on standardized tests, compared to non-participating students (RULER, 2010). Payton et al (2008) reported on three large reviews which included 317 studies with a total of 324,303 children. The reviews were organized in three parts-the universal review, the indicated review and the after school review-to demonstrate the effectiveness of ASEL programs on elementary and middle school students. The Universal review consisted of 180 school-based studies with 277, 977 students. The Indicated review consisted of 80 studies with 11, 337 students. The After-School review consisted of 57 studies with 34, 989 students. The overall finding indicated that the students in ASEL programs showed improvement in their personal, social and academic lives. ASEL students also showed gains in achievement test scores of 11 to 17 percentile points (Payton et al., 2008). ASEL showed efficacy in the school and after school programs. Follow-up data demonstrated that the intervention was still effective over time. However, long-term effects were not as strong as shorter term effects. The Universal and Indicated reviews showed ASEL programs to be effective when implemented by school staff. Reviews indicated that Universal and After School ASEL programs following the SAFE process were more effective than other programs. Safe refers to:

Sequenced: Does the program apply a planned set of activities to develop skills sequentially in a step-by-step fashion?
Active: Does the program use active forms of learning such as role-plays and behavior rehearsal with feedback?
Focused: Does the program devote sufficient time exclusively to developing social and emotional skills?
Explicit: Does the program target specific social and emotional skills? (Payton, et al. 2008)

A study conducted by Caldarella et al. (2009), evaluated the effectiveness of the ASEL Strong Start program with 26 second grade students. *Strong Start: A social and Emotional Learning Curriculum* (Caldarella et al.) is an ASEL program that is intended for primary grade students. Research on its efficacy showed that it decreases externalizing and internalizing behaviors and increases peer-related and pro-social behaviors. The results of another study demonstrated similar improvements on the School Skills Rating System (SSRS) which assesses pro-social skills and troublesome behaviors among students in grades K to 12 and the School Social Behavior Skills (SSBS) which measures social skills and other ASEL-related attributes (Caldarella et al.). Students who participated in the Strong Start program experienced improvement in peer-relationships and pro-social behavior and experienced a decline in internalizing behavior. Strong Start was successful with at-risk students in the increase of their pro-social behavior. Such curriculum was especially helpful for students who were initially weak in pro-social behaviors (Caldarella et al.).

A PROPOSED ASEL PROFESSIONAL DEVELOPMENT FRAMEWORK FOR EDUCATIONAL LEADERS

This section is focused on an examination of how educational leaders may be best prepared to assist students in addressing the core social and emotional learning competencies: Self Awareness; Self-Management; Social Awareness; Relationship Skills; and Responsible Decision Making. Educational leaders' knowledge, understanding and support for ASEL are critical in addressing the many academic, social and emotional issues that students confront on a daily basis. How effectively they are able to carry out their responsibilities is determined, to a large extent, by the nature of their pre-service preparation and by how well they continue to update their knowledge and skills during in-service professional development. Their pre-service and in-service experiences should consider and enable them to address the academic, social and emotional issues that students confront on a daily basis as they attempt to study and learn. The pre-service preparation and in-service professional development for educational leaders must reflect the triadic interactions and interdependence among social, emotional and cognitive experiences among students and embrace a systems ecological approach to address them.

An ASEL framework for leadership preparation should be designed to prepare educational leaders to address the social and emotional learning needs of students on primary, secondary and tertiary levels while helping to influence overall school climate through consultation, collaboration and implementation of needed systemic changes Also the ASEL preparation framework for educational leaders should be designed to inform standards for SEL professional practice preparation, consistent with the professional practice and credentialing standards for educational leaders that regulate and guide their professional practice. ASEL core competencies should be recognized as an interrelated set of foundational and advanced competencies that can be sequentially taught in sequenced planned programs of study with practicum and field experiences attached. This can be achieved by making ASEL core competencies integral to the fulfillment of the standards and credentialing examination processes that already exist among state accrediting agencies. Therefore, the ASEL preparation framework being proposed will be linked to existing state standards and integrated as significant parts of the competency areas for leadership practice.

Within the proposed ASEL framework, university and college leadership faculty and students, as well as administrators and staff in schools, would recognize and expect that thoroughly and competently prepared educational leaders would have the knowledge and skills needed to effectively implement empirically informed student-centered interventions that assist students to effectively address each of the five core ASEL competencies. Most leadership standards do address areas that include ASEL-related competencies. As leadership certification processes currently stand, each state agency sets expectations and criteria for professional preparation and practice based on core leadership practice competencies. Along with rigorous course work requirements that include content courses to address the required competencies and standards educational leadership programs require an intensive field experience that is supervised by an experienced and appropriately credentialed professional. In addition to the credentialing and practice standards set by states, there are institutional accrediting standards that also impact the preparation of educational leaders. Educational leadership preparation programs are usually housed within schools of education that are accredited by the National Council for Accrediting Teacher Education (NCATE).

In the proposed support professional preparation framework, ASEL instruction and field experiences are planned to meet state standards and those of the school or program accrediting body such as NCATE (N), the professional or state accrediting agency (S) and the ASEL competencies (C). The courses and related experiences are determined by the respective academic Departments and cross referenced with the national institutional/program standards, professional specialty/sub-specialty standards and ASEL competencies. The convergence of these three sets of standards is referred to here as the NSC ASEL standards. This is represented in Figure 3.1.

The convergence of NCATE, State and ASEL core competencies should be explored and explicated. It is important for ASEL competencies to be defined, refined and identified as a theoretically grounded body of information that can be folded into a curriculum sequence with a related set of field experiences. There are several plausible professional development approaches to rigorously preparing and updating the AEL knowledge and skills of educational leaders. These approaches include:

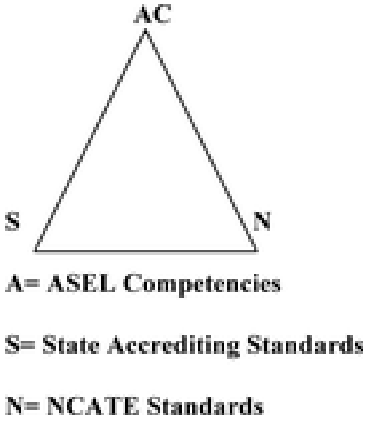

Figure 3.1. Convergence ASEL Competencies with State and NCATE Standards.

- Individual SEL courses at the graduate level that meet the NSC criteria as electives or required courses in a planned sequence courses for a Master's Degree, Sixth-Year Professional Diploma or Doctoral Degree in School Psychology, Counseling, Social Work or another discipline using in-classroom, on-line or hybrid modalities
- A combined and sequenced set of ASEL courses at the graduate level that meet the NSC criteria that would be established as required courses for a subspecialty or minor in a planned sequence of courses for a Master's Degree, Sixth-Year Professional Diploma or Doctoral Degree using in-classroom, on-line or hybrid modalities
- A combined and sequenced set of ASEL courses, including a supervised field experience during the Sixth-Year Professional Diploma or Doctoral Degree that leads to an SEL instructor/supervisor certificate using in-classroom, on-line or hybrid modalities

The SEL field experience should include a minimum number of supervised hours in a school, counseling or other professionally-relevant setting performing tasks that meet the criteria for fulfilling teaching, facilitating, supervising, monitoring or assessing clearly defined ASEL competencies.

PROPOSED PROGRAM EVALUATION APPROACH AND INDIVIDUAL ASSESSMENT SYSTEM

Evaluating ASEL programs and assessing social and emotional competencies are challenging issues for the educational leader. The challenges in ASEL program evaluation appear to stem from several factors related to two overarching concerns: evaluating the implementation fidelity among ASEL programs and robustly assessing their impacts.

Evaluating ASEL Program Implementation

A major program evaluation issue concerns the measurement of implementation among ASEL programs. There is no definitive data on the number or percentage of CASEL-recognized ASEL programs that include rigorously developed implementation assessment measures. However, Durlak (2001) completed a study of 1,200 prevention programs that address some ASEL competencies and only 5% of those programs examined implementation (Tanyu, 2007). Tanyu (2007) noted that implementation quality and fidelity may be hard to research due the complexity of implementation assessment and measurement.

Assessing ASEL Program Impacts

There are several issues to be considered with regard to evaluating the impacts of ASEL programs. These include: 1) a lack of a uniform set of measures that are recommended to assess performance on the core ASEL competencies; 2) ASEL competencies are measured in as many ways as there are ASEL programs and interventions. Each ASEL program defines its outcomes in the way that it chooses and uses measures that fit with its programmatic goals; 3) social and emotional learning competencies may be seen as too varied to be assessed using objective rigorous measures with consistency across individual students in various contexts. These and other assessment issues are at least partially addressed in a very useful document produced by CASEL titled "Safe and Sound." In this document, CASEL staff has rated ASEL programs along several dimensions, including their use of assessment measures and the degree to which the programs are evidence-based. Evidence-based programs provide degrees of evidence that their interventions are effective with specified populations. For a program to provide evidence, it must have outcome measures associated with it. All of the programs reviewed in *Safe and Sound* do have measures that assess their effectiveness. However, the psychometric properties (reliability and validity) vary among measures used within and between programs.

PROGRAM IMPACT EVALUATION: AN INTEGRATED INDIVIDUAL ASSESSMENT SYSTEM

The assessment of academic performance separate from social and emotional competencies has been the overwhelming focus of educational assessments for decades. Academic testing, for the most part, has been, and continues to be, concentrated on measuring students' cognitive skills only, despite the increasing evidence of a strong link between academic learning and social and emotional learning. This narrow focusing on assessment on the academic "A," and the lack of focus on the social "S" and emotional "E" of ASEL, may be due to the assumption that schools and the educational enterprise, as a whole, should be mostly concerned with students' academic learning and not be too concerned about social and emotional learning. However, as this chapter has shown, ASEL, as an integrated concept in student learning, must be at the core of educational planning, policy, practice and assessment in order for the vast majority of students in American schools to realize their fullest achievement potential and attain expected high performance levels.

Looking toward the future, a comprehensive assessment system that this writer chooses to call a "pathways assessment system" is needed that considers context and developmental experiences and that measures the dynamic reciprocal influences and interconnectedness among the ASEL academic, social and emotional learning factors holistically and that does not assess them as separate and detached processes. The proposed comprehensive evaluation and assessment system is modeled on the developmental framework discussed earlier that pays attention to, and figures in, the following key elements: context and developmental and learning experiences that influence how the learner is developing, growing and learning along the six Comer developmental pathways; and a combined academic, social and emotional assessment (ASEL) profile.

Comprehensive Pathways Assessment System (CPAS)

Context & Developmental Experiences Profile (CDEP) Assessment

As noted earlier, the contexts in which students live, grow, and learn influence their development along each of the Comer six developmental pathways. Having context assessment data can be informative from the standpoint of the social and cultural assets and challenges that students may bring to the learning situation. The assessment methods may include a background information form that provides the following information:

- Racial/ethnic & cultural identity
- Socio-economic status of household
- Educational level of parents
- School climate
- School achievement profile

Additionally, the context assessment may include a narrative account of developmental and life and learning experiences in and outside of school. A rubric would be developed to assess the narrative for important and relevant information. The weighted score from the narrative rubric would be combined with a weighted score from the background information sheet. These combined weighted scores would be part of the total CDEP assessment profile score.

Integrated Individual ASEL Assessment Profile (I IAAP)

The ASEL core competencies should be operationalized to be developmentally appropriate and socio-culturally sensitive and responsive. The assessment methods may include a combination of the following:

- Performance-based tasks
- Case studies
- Group project assignments
- Interviews

- Community-based projects
- Computer-based tests
- Narrative stories
- Paper & pencil tests
- Observations
- Electronic portfolios

For each method, a scoring rubric would be developed. The nature of the scoring rubric is to be determined, but would be used formatively to provide feedback to the individual student with specific action recommendations to promote further growth. An integrated ASEL profile would be developed and a weighted total IIAA score would be assigned.

Pathways Assessment Profile (PAP)

The Pathways Assessment Profile would be a combination of the CDEP and IIAA profiles. The disaggregated Pathways profiles would be mapped onto the six Comer developmental pathways to provide a concrete organized systems and systematic approach for promoting and supporting growth through strategic action. Figure 3.2 summarizes the comprehensive pathways assessment system.

It is important to keep in mind that the idea of developing profiles in the proposed assessment system is not equivalent to profiling students in a negative sense, but is intended to serve as part of a comprehensive, formative, informative, developmentally appropriate, and socially and culturally relevant decision-making process that recognizes and maximizes each student's success potential.

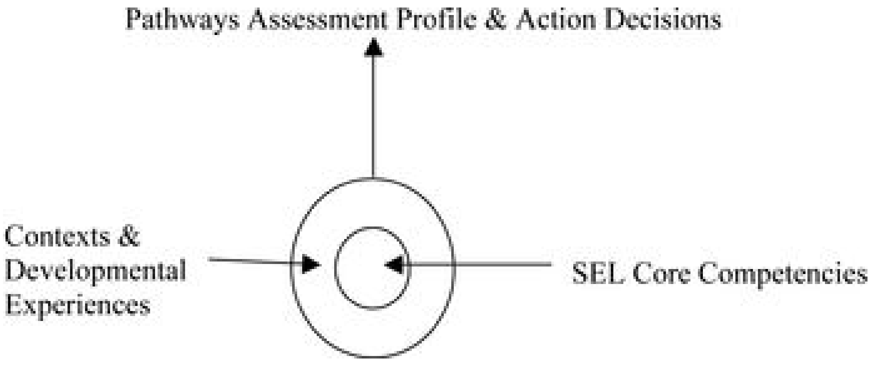
Pathways Assessment Profile & Action Decisions
Contexts & Developmental Experiences
SEL Core Competencies

Figure 3.2. Pathways Assessment Profile & Action Decisions.

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Chapter Four

Leadership and Social Justice

Cynthia McDaniels and Cathryn Magno

> "All of us do not have equal talent,
> but all of us should have an equal opportunity to develop our talents."
> —John Fitzgerald Kennedy

INTRODUCTION: THE (MISSING) CORE OF EDUCATIONAL LEADERSHIP PROGRAMS

Social justice concepts are not a priority in many leadership preparation programs. The core curriculum of most programs consists of leadership and organizational theory, supervision approaches, learning strategies, and an extensive site-based internship. There is an emphasis placed on managing the schooling processes to increase student performance scores on high stakes testing and teacher accountability, to the exclusion of social context content. The packed programs rarely have elective options that allow prospective leaders to enroll in courses in social foundations of education and other disciplines that critically examine social, cultural, economic and political perspectives on leadership. Clark (2006) boldly states that, "in the push for credentials and the managed curriculum … social justice is lost in the pursuit of individual material advantage which so disastrously undermines the common good" (p. 282). Also, importantly, educational/social foundations including history, philosophy, politics, economics, and sociological content have been all but eliminated from *teacher* preparation programs. This means that teachers entering leadership programs and, later, school leadership positions, generally do not have a sound base of knowledge in the disciplines as related to education, and therefore tend to treat schooling as a largely technical enterprise with little consideration for, or responsibility toward, the social context of educational processes. This chapter will explore the connections between social justice and leadership, using both national and Connecticut-specific examples, in order to argue for a more prominent place for social justice in the typical leadership preparation curriculum.

RATIONALE FOR INCLUDING A SOCIAL JUSTICE PERSPECTIVE

For the purposes of this chapter, we adopt Reynolds' (2010) definition of social justice: "the fair, equitable and impartial distribution of the resources, opportunities and benefits of society to all of its members, regardless of position, place or other exclusionary criteria deemed unfair" (p. 406). With the absence of social foundations perspectives, leaders are not versed in constructs such as (in)equity, (in)equality, identity, power, privilege, multiculturalism, critical pedagogy, social/cultural capital, human/civil rights, and institutional/structural violence—all of which are at the center of the social justice framework in the twenty first century. Prospective leaders are not familiar with meta-social theory that includes Marxism and neo-marxism, feminist/post-feminist and critical race theory, structural-functionalist theory, and neoconservative and neoliberal theories, among others, which would allow them to deconstruct policy initiatives and formulate justified responses and rights-based advocacy strategies.

Enrollees in leadership programs would benefit from the incorporation of strong social justice themes that prepare them to manage schools and effectively lead staff and students to meet the dynamic socially-based challenges that occur both within and outside of the school—especially critical in today's ever-globalizing, ever-diversifying educational environment. A social justice perspective enlarges and enriches the role of the leader by providing a two-pronged ethical dimension to school leadership, allowing for deeper understanding of: 1) the environments from which children and families come, and 2) meaningful self-awareness, necessary for building relationships and making collaborative decisions. As such, we promote *social justice pedagogy*, which places ethics and analysis of "self" at the center of intellectual growth.

Social and familial environments influence motivation, identity, self-concept, and self-efficacy, contributing to students' likelihood of success or failure in schools. Adults in educational organizations must be cognizant of students' multiple environments in order to understand the types of social and cultural capital they carry and how the experience of school may bring tensions, contradictions and misunderstandings, along with possible symbolic violence or, conversely, identity affirmation (Willis, 1977; Lareau, 2003; Nieto & Bode, 2008).

To know oneself is to understand how one's position and privilege may contribute to the construction and perpetuation of unfair institutional structures, processes and belief systems that include social hierarchies and discriminatory interpersonal relationships (McIntosh, 1988; Memmi, 1965; Said, 1978). Knowing oneself also means being acutely aware of the role one plays in an organization—particularly public organizations such as schools—and the obligations one has to be fully informed and participative in shaping that organization based on democratic principles (Apple & Beane, 2007).

Integrating social justice content in leadership programs extends beyond simply understanding that there are serious inequities in society and its primary educative agency—schools—but that there must be concerted policy and concurrent action that renders productive outcomes. In other words, environmental understanding and self-awareness should lead to action and advocacy, not least because to do nothing in the face of injustice is to implicitly contribute to such injustice as ongoing. As noted by Shealey, Sparks and Thomas (2012),

> Social justice rightly understood is a specific habit of justice that is "social" in two senses. First, the skills it requires are those of inspiring, working with, and organizing others to accomplish together a work of justice. Further, a recognition model of social justice addresses the mobilization of movements that value the contributions of diverse groups, and the use of the power of experience to advocate for equitable societal policies (p. 16).

When social justice principles are properly infused into leadership programs, leaders will be more likely to "read the world" (Freire, 1992) in such a way as to be motivated to engage in meaningful activism that will produce positive, more equitable outcomes for individuals, schools and communities (Anyon, 2005). The inclusion of a social justice perspective in leadership programs is therefore needed to better prepare educators for the challenges that they will confront as school leaders in developing a justice-based school community.

EDUCATION POLICY AND LEADERSHIP STANDARDS

Social justice should be carefully examined by aspiring school leaders within the context of educational policy and professional performance standards, going beyond a "surface-level" acknowledgement of vague justice notions. Unfortunately, conditions in society have prompted, and indeed necessitated, social action to address and correct inequitable education legislation, policy and practice, for "if everyone within a given society was truly equal, then there would be no need for such a term as social justice" (White & Cooper, 2012, p. 519). Educational leaders should understand that continuing disparities in any/all aspects of schooling violate judicial mandates, legislative edicts and executive orders, negatively impacting society and all of its agencies.

The long-standing and glaring inequities in American education are well documented, as are the well-meaning prescriptive policies to address them. Social justice and equity agendas can be seen through legislative struggles for equal access and delivery of education, for example. The prodigious actions emanating from court cases such as Brown v. Board of Education at the national level[1] and P.J. v. State of Connecticut Board of Education[2] and Sheff v. O'Neill[3] in Connecticut along with consequent implementation programs such as the Least Restrictive Environment (LRE) Initiative and the Open Choice Program clearly recognize that non-adherence to basic principles germane to our democratic society have historically been not only offensive, but egregious, and have had to be corrected. Prospective and practicing school leaders must assume responsibility to promote what is deemed socially just and educationally prudent. In effect, this means that school leaders must understand current legislation regarding the rights of *all* students, the limits of such, and the role leaders may play in increasing compliance and justice when necessary.

Meanwhile, standards for professional conduct by educational leaders have been adopted at the national level by independent professional bodies to create consistency in the field and to provide an accountability mechanism against which states can establish professional competencies for individual school leader candidates. ISLLC, a grouping of education agencies and education administrative associations, was established in 1994 by the Council of Chief State School Officers (CCSSO) with the goal of enhancing the quality of educational leadership. In 1996, the ISLLC developed a document called *ISLLC Standards for School Leaders*, which was a set of standards intended to provide structure and guidance for future school leaders (Murphy, 2003). Revised in 2008, these standards offered a basis for Connecticut's newly revised *Common Core of Leading-Connecticut School Leadership Standards* (CCL-CSLS), in effect as of 2013. The six areas of performance expectations in the CCL-CSLS include the following: 1) Vision, Mission and Goals, 2) Teaching and Learning, 3) Organizational Systems and Safety, 4) Families and Stakeholders, 5) Ethics and Integrity, and 6) The Education System.

Within these standards, several key elements strongly connect to social justice. The most apparent are those involving diversity, culture, ethics, and equity for all students. The role of families, ethics and the structure of schooling are identified in standards four, five, and six and are clearly themes in the discourse on social justice. The other standards provide frameworks that may address social justice in leadership preparation programs, such as having a shared vision, but do not specifically mention social justice or its core concepts.

It is evident, then, that a guiding policy backdrop and professional standards obligate educational leaders to adhere to social justice principles, even if there is no formal or explicit enforcement mechanism. Directives cannot change mindsets. However, when the just and moral causes of social justice are presented as demonstrations of ethical expectations as articulated in education standards, it is easier to lead others toward just ends. When social justice aims are codified in policy, they are more likely to be understood as professional obligations, in this case, for those entrusted with serving all children. This chapter therefore argues that a critical analysis of social justice concepts tightly coupled with a heightened personal ethical commitment can transform the individual and the school climate towards problem solving and more democratic outcomes. Social justice, when critically understood, "encompasses an understanding of our sense of individual and collective identity, reflecting the multiple ways in which we are positioned, position ourselves and perceive others" (Irving, 2009, p. 14). Educational leaders are *uniquely positioned to be catalysts of social change*, if they understand and adhere to social justice principles and if they commit to social justice advocacy as an inherent responsibility of their professional status and relative power.

SOCIAL JUSTICE INTERPRETATIONS

A myriad of interpretations of the meaning of social justice range from raising individual awareness of injustices in schools to leading grass roots activism on a global scale. These multiple interpretations have, at their core, moral values that are inconsistent with past and current injustices in schools and society. The contemporary literature on social justice prodigiously produced since the 1990s most frequently includes philosophical, political, and social underpinnings of ethical beliefs and normative behavior that seeks to redress injustices.

According to some researchers, the core principles have remained constant and are still cited in current literature. Kaur's (2012) lengthy review of literature concludes that social justice often "undergoes nominal change with time even when the substantive content might be relatively stable" (p. 485). Other social justice researchers believe changes have been substantive and find difficulty in reaching a consensus on the term's meaning. Bettes and Hytten (2011) are critical of the term, insisting that, "when an idea can refer to almost anything, it loses its critical purchase, especially an idea that clearly has such significant political dimensions, especially when it is politically significant" (p. 8).

In general, "social justice supports a process built on respect, care, recognition, and empathy" (Theoharis, 2007, p. 223), is based on principles of equity and human rights (Kaur, 2012), and rests on the belief that all citizens merit celebration and protection (North, 2006). True social justice is about accepting and appreciating differences rather than merely tolerating them; in fact, this is a central feature of American democracy. Educators who come to social justice through a vision of participatory democracy maintain a very active, participatory and critical notion of citizenship and, generally, "justice oriented citizens look for the root causes of social problems and aim to disrupt privileged systems" (Bettes & Hytton, 2011, p. 20). Such a critical approach requires schools to be proactive, rather than reactive, regarding the inclusion and participation of all students, and it is this type of preparation that will equip leaders to serve in diverse and complex communities.

LEADERSHIP INTERPRETATIONS

Definitions of leadership over the past fifty years have been many and varied, ranging from "any act of influence on a matter of organizational relevance" (Katz & Kahn, 1966, p. 334) to theories such as distributed leadership (Harris, 2003) and instructional leadership (Elmore, 2000, 2004). While all leadership theory might connect in different ways to social justice, we see "transformational leadership" as the most relevant because it directly addresses values and motivations.

Transformational leadership is forward-thinking and produces change and the transformational leader changes the environment for both the leader and the followers by elevating both to higher levels of motivation and morality. Ultimately, it raises the level of human conduct and ethical aspirations and it has a transforming effect (Kouzes & Posner, 2002). Burns (1978) describes the transformational leader in the following segment:

> Essentially, the leader's task is consciousness-raising on a wide plane … The leader's fundamental act is to induce people to be aware or conscious of what they feel—to feel their true needs so strongly, to define their values so meaningfully, that they can be moved to purposeful action (p. 43–44).

Because such an approach does not necessitate *just* values or consciousness, aspiring leaders must be aware of their own beliefs and morality, understand these vis-à-vis the legal and social context, and be able to lead conversation and movement toward social justice in their schools by demonstrating knowledge and commitment and by actively engaging in achieving the laudable goals of social justice. Further, leadership "must permeate through the entire organization as a vital influence on the behavior of all employees … [becoming] an organization of integrity, where our words would be seen and not just heard" (Wheatley, 2006, p. 56). Schools, as public institutions, would do well to adhere to principles of integrity and equity and to take a transformational approach to leadership in the interest of transforming individuals and structures toward more socially just orientations, beliefs and actions.

INTERSECTION OF SOCIAL JUSTICE AND LEADERSHIP

Such a *call for action* to support human dignity underscores the idea that social justice is inextricably linked to the core values that guide every leader. Educational leaders need to be respectful of all members of the school community including parents, families and community members. White and Cooper (2012) succinctly and powerfully state, "…we need to sacrifice our prejudices in order to belong to a society our children would want to inherit" (p. 520), suggesting that only through the absence of discrimination and the adoption of compassion can leaders hope to create socially just school communities. School leaders are responsible for examining their own values and understanding how their decisions and policies reflect those values. Therefore, explicit inclusion of social justice concepts in leadership preparation requires aspiring leaders to critically and articulate consider their own values vis-à-vis notions of equity, equality, privilege and protection.

What we argue is not for a new conceptualization of social justice for leadership; rather, we believe it essential to infuse social justice discourse into leadership preparation that has traditionally been more technocratic and bureaucratic than critical and political. Some programs are doing this. However, it remains unclear to what extent social justice receives *explicit* treatment in such programs and it remains evident that several programs lack even a mention of the term in their course offerings (per catalogue descriptions, as discussed later in the chapter). Social justice pedagogy includes specific goals of helping students develop: 1) a sociopolitical consciousness (awareness of the symbiotic relationship between the social and the political) and 2) a sense of agency (the freedom to act as a change agent and the feeling of empowerment) (Gutstein, 2003). At a minimum, leadership preparation programs should educate aspirants to be aware of the racial-economic issues that influence schooling, be able to devise multiple strategies for addressing these issues, be committed to engaging and working alongside families and communities, and be inspired to raise achievement dramatically among the least privileged students (Poplin & Rivera, 2005). However social justice is taught, with whichever precise definition or aspects, educational leaders need to leave preparation programs equipped to be held personally and professionally responsible for social justice in their schools.

SOCIAL JUSTICE THEMES IN THE CONNECTICUT CONTEXT: DREAMS OF OPPORTUNITY

In 1959, during a speech at the Religious Leaders Conference in Washington D.C., Dr. Reverend Martin Luther king stated "I look forward confidently to the day…when we bring into full realization the American dream—a dream yet unfulfilled. A dream of equality of opportunity, of privilege and property widely distributed…" (King, 1959). Thus far, we have made the case for social justice and presented leadership approaches that connect most with the development and implementation of social justice principles. In this section, we highlight this argument in the context of leadership preparation in the State of Connecticut. We summarize a cursory document analysis of educational leadership programs in Connecticut and briefly highlight some of the specific themes that should be included in preparing educational leaders to understand, engage and promote social justice in Connecticut schools.

CONNECTICUT DEMOGRAPHICS

Connecticut has the unfortunate distinction of having the largest achievement gap[4] in the country.[5] This gap is largely related to aspects of race, class and segregation. While we acknowledge that there may be multiple areas potentially needing social justice attention, such as gender, language, and disability, we focus on race and class to highlight an under-discussed area of critical need in the Connecticut context. Wealth exists among all races and ethnicities in the state, however, Black median household income is 58% of White median household income and Hispanic median household is 53% of that of Whites. Poverty rates of children are starkly contrasted among racial groups; 8% of White, 29% of Black, and 28% of Hispanic children in Connecticut live in poverty (Carroll, 2012). Importantly, Connecticut is extremely segregated, with urban areas experiencing quite extreme racial isolation, resulting in distribution patterns of opportunity that are strongly correlated with race/ ethnicity and across urban and suburban communities (Reece, Gambhir, Olinger, Martin, & Harris, 2009).

To rectify unconstitutional delivery of education vis-à-vis racial settlement patterns, the Sheff v. O'Neill court case, mentioned earlier, is a policy-level example. However, local communities across Connecticut are implicated in racial dynamics that undergird quality of life for many of the state's residents and impact equity in education among the state's school districts (see Reece, et al., 2009, for more detail). In Connecticut, where a child is born and resides is a strong determinant of both the quality of his or her education and the likelihood of him or her achieving positive educational outcomes. Therefore, the need for educational leaders to be aware of unjust social structures, to be versant in race and class issues, and to be willing to take (sometimes unpopular) action to reverse unjust trends is critically important in this state.

CONNECTICUT LEADERSHIP PREPARATION PROGRAM ANALYSIS

Importantly, mention of social justice concepts is rare across Connecticut's leadership preparation programs.[6] In an analysis of the content delivered in the seven programs in the state that offer coursework leading to the Intermediate Administrator (092) Certification, none mention the term "social justice" in course titles or course descriptions. There was one mention of a concept related to social justice pedagogy in a course that includes "*self-awareness* as the cornerstone of effective leadership" and one mention of a course about "developing human relationships" but no other explicit descriptors of the core concepts of social justice. This highlights the need to overtly include several topics or themes into the leadership preparation curricula.

Crucial Social Justice Themes for Educational Leadership Programs in Connecticut

In the following, we present themes we believe to be the most salient in this context: segregation/institutional racism, tracking, and white privilege. We end with a theoretical approach to unpacking and understanding these themes:

Segregation as Structural Violence

Patterns of segregation and flawed education for blacks established in the nineteenth century persist today. The statement of principle in the *Brown v. Board of Education* decision, namely the rejection of segregation in public institutions, was not followed by commitment to implementation. The National Center for Educational Statistics (2013) concluded that in 2006–2007 approximately 24% of all students attended public elementary and secondary schools that were segregated. In Hartford, CT, for example, over 90% of schoolchildren are African-American or Latino (Orfield & Eaton, 1996), making it a *hypersegregated* school district.[7] Historically, predominantly minority segregated schools have been funded at rates many times lower than those serving whites and many students of color have been—and continue to be—excluded from many educational institutions entirely (Darling-Hammond, 2010). In minority-dominated segregated and hypersegregated schools, average academic achievement is much lower than in mostly white schools. Such educational differences are largely related to concentrated poverty in those districts and, again taking the example of Hartford, over 60% of schoolchildren in the district live in poverty (Orfield & Eaton, 1996; Massey & Denton, 1993).

Debates regarding segregation, desegregation and re-segregation are ongoing. Rather than delve deeply into these debates here, we seek to point out that segregated schools offer inadequate and unequal opportunity to minority students because they are underfunded (with 32.9% of Hartford residents living below the poverty level[8]), with less-qualified teachers, and with substandard facilities. The result is that Black and Latino students experience extremely regimented school spaces, policies, and practices that subject them to intellectually constricted forms of education (Fine et al., 2004; Eaton, 2006). Structural violence becomes the product of a systematically enforced unequal distribution of power that reinforces the illusion that an individual's race or economic circumstances are the reasons for academic failure, not the unequal structures or applications of policy (Farmer, 2003). School leaders have a responsibility to identify and remediate such forms of structural violence within the school walls to the extent that they can given segregated social contexts.

Tracking as Institutional Racism

The practice of tracking began as a way to tailor lesson plans for different types of learners. However, this practice has evolved into modern day institutional racism in the education sector, because a disproportionate number of minority students are placed in the low tracks by (mostly) white teachers and administrators. Subjectivity, teacher resources, parental involvement and economic status are merely a few factors that influence the tracking process (Semel, 2010), but the ultimate responsibility for maintaining this system are the school and district leaders.

Research shows that students in low tracks are not challenged, not exposed to rigorous curriculum, and not supported to the same degree as students in higher tracks (Patel-Lye, 2012). Low track students do not form good relationships with their teachers because of the low expectations and the lack of connection. This results in a decrease in the ease of learning for low track students, which further negatively influences their ability to move up in tracks and achieve more academically. Educational leaders must take an active role in deconstructing tracking strategies, as the detracking movement is aligned with the basic principles of social justice. This is especially true for those who are most negatively impacted by tracking as a result of limited resources, less skilled teachers, low expectations and fewer opportunities for educational achievement; including access to college. Gorski (2010) rightly suggests that "we need to eradicate the system-wide inequities that stand in [the] way" (p. 59) of poor and minority students. He goes on to say that, “The socioeconomic opportunity gap can be eliminated only when we stop trying to ‘fix’ poor students and start addressing ways in which our schools perpetuate classism” (p. 61). Tracking and other unfair practices that harm poor and, frequently, cultural minorities, will have to be replaced with more equitable basic rights for all students.

White Privilege

White privilege results from the set(s) of advantages that white people have over non-white people in the same social, economic, political and educational positions (McIntosh, 1988). White privilege, based on unearned advantages for whites (Jensen, 1998), affects identity, interpersonal relationships, trust-building, and collaboration in the workplace. It affects decision-making, policies, and procedures. Recognition of white privilege and the “white racial frame,” which is an “overarching worldview encompassing racial ideas, terms, images, emotions and interpretations” (Feagin, 2010, p. 3) by power-holding whites, is a critical step in a movement toward justice for non-whites.

Many whites do not view themselves as privileged based on their race; social justice pedagogy requires educators and school leaders to bring it to their attention when appropriate. White privilege extends to the benefits not accorded to students of lower classes or students of color because of the cultural mismatch between students’ home life and school life (Lareau, 2003). For example, Skiba, Michael, and Nardo (2000) investigated office referrals, detention, suspensions and punishment and found that lower socio economic status, minorities and students in inner cities or urban areas are disproportionately punished. Data suggest that African American students are disciplined more frequently and harshly for less serious, more subjective reasons. School leaders have a responsibility to recognize and take action to curtail such practices in their schools.

Critical Race Theory

Critical race theory (CRT) was established in the mid-seventies to address the more subtle forms of racism in society that are deeply embedded in the structure, policies and practices in American education. CRT seeks to understand and explain the mechanisms by which millions of black and brown children are denied the right to equal educational opportunity. Today, “the CRT movement is a collection of activists and scholars interested in studying and transforming the relationship among race, racism, and power” (Delgado, 2001, p. 25). CRT is based on three propositions: 1) race continues to be significant in the United States, 2) United States society is based on property rights rather than human rights, and 3) the intersection of race and property creates an analytical tool for understanding inequity (Ladson-Billings &

Tate, 1995). Ladson-Billings and Tate (1995) further argue that race has been "untheorized," meaning there is a lack of utilization of race as a tool for examining social inequality, and "the intellectual salience of this theorizing has not been systematically employed in the analysis of educational equality" (1995, p. 50). CRT can be a powerful tool when applied to curriculum. CRT suggests that current curricular strategies assume that African-American students are inferior to white students, in part, for example, by presenting distorted or stereotypical historical information and by privileging literature by and about white people while marginalizing children of color (Gangi, 2008). Solorzano and Yosso (2009) state that CRT offers a strategy to "understand the experiences of people of color along the educational pipeline" and "draw on the knowledge of people of color who are traditionally excluded as an official part of the academy" (p. 142). CRT can also contribute important analysis to motivation and identity construction, as in studies demonstrating that strong racial identity and racial pride increases motivation among students. Carter (2008) found that students are more likely to view school as a means for social mobility and personal happiness when they understand the role of race in American society.

Diem and Carpenter (2012) state that today's school leaders must include a purposeful focus on building the critical dialogical skills necessary to facilitate anti-racist conversations, which includes carefully examining issues/concepts pertaining to color-blind ideology, misconceptions of human difference, merit-based achievement, critical self-reflection, and the interrogation of race-related silences in the classroom. With discrimination affecting every community, leaders must be able to engage in these conversations to ensure that they and their schools have a clear stance toward injustice. Dantley (1989) explains that as principals dare to assess critically their present state of affairs and dare to dream of a reformed, egalitarian education, their institutions will truly begin to manifest transformations that will promise a more equitable opportunity for all to enjoy and benefit from the schooling process.

FROM KNOWLEDGE TO ACTION: PREPARING CHANGE AGENTS

At the core of social justice pedagogy are the dual goals of fostering heightened levels of social consciousness and concomitant activism. Social consciousness in the context of social justice includes the ability to critically analyze issues, engage in problem solving and self-reflection. Aspiring leaders need to be able to be knowledgeable, analytical and willing to play a key role in effecting positive social change in their learning community. Creating a more socially just school is not an easy task. Prospective leaders need to be explicitly taught how to be advocates for social change. Even the most highly aware and well intentioned aspiring building leaders need training in how to raise awareness of social justice issues, infuse social justice in the curriculum and motivate all of the stakeholders to engage in school based advocacy to reduce the inequalities and other issues that undermine social justice. Some examples of how that might take place follow.

It is imperative that aspiring leaders be knowledgeable about what constitutes social justice and understand how a social justice tone and attitude can transform a school, as we have discussed earlier in the chapter. Therefore an essential early step in the instructional process is to engage in conceptual analysis. Through a series of deliberative steps, the leader in training is able to identify the attributes of a concept; category of experiences, examples of the concept, attributes of the concept, and the attributive features used to categories (Joyce, Bruce, & Marsha Weil, 1986). This approach is especially helpful in focusing on the major descriptors of social justice. In addition, the use of concept mapping is a useful tool in conceptualization because it allows for the identification of conjunctive and connecting concepts related to social justice including trust, empathy, caring, as well as those outlined earlier in the chapter.

Embedding concept attainment and critical consciousness in the educational leadership curriculum helps future school leaders integrate school wide social justice practices. Leaders should “recognize structures that pose barriers to students’ progress and create proactive structures and systems of support for all students at the macro and micro levels” (McKenzie et al., 2008, p. 126). To encourage prospective leaders in developing “conscientization” (Freire, 1992; Katsarou, 2010), social justice concepts can be used to engage in honest self-reflection concerning their moral beliefs, experiences and actions. They learn to ask critical questions about how racism, classism and other issues affect attitudes, dispositions, compassion, caring, respect and responsibility among school community members. This critical analytical process coupled with ethical values will invariably lead to positive change in schools that are aligned with social justice principles.

Conscientization happens when aspiring leaders understand how they are implicated in the social injustices that are deeply embedded in society and manifested in the structure and climate of the schools. The foundations of the American democratic ethos reflects the concept of social justice and it is important to provide instructional activities to raise the awareness level of aspiring leaders about the social contract language in the constitution on justice and the cornerstones of equal protection, social equity and freedom. School leaders are the custodians of public schools—the premier agency entrusted by society to educate its youth—and leaders must be prepared to promote and advocate for social justice. As presented throughout the chapter, one major underlying theme in the literature and discourse on social justice is the notion of equality. Spring (2014) states that, “the provisions of equal educational opportunity can be defined solely on the grounds of justice: if government provides a service like education, all classes of citizens would have equal access to that service" (p. 105). Testimonials by community leaders and policy makers can be used as an instructional strategy in leadership courses to raise the level of consciousness regarding the benefits of social justice in education.

Many other topics within a leadership program can be taught with an explicit social justice focus that address the *Common Core of Leading-Connecticut School Leadership Standards* (CCL-CSLS) performance expectations. For example, bullying is a social justice concern because the basic principles of fairness, respect, equality, and race are undermined. When educators see the connection of bullying as it relates to the CCL-CSLS standards on diversity, school structure, and ethics, they realize that they can apply the leadership standards in addressing social justice principles. In this example, an educational leader can send a powerful and amplified message to all members of the learning community that respect and fairness are priority values and that any behavior that contradicts this behavior is an affront to social justice principles. The knowledgeable and committed school leader can significantly advance the laudable and practical goals of creating a safe school climate and transform the culture for learning.

Aspiring school leaders who understand their special role as change agents in their schools and communities can transform education to move closer toward achieving the attainable goals of social justice in their school. Hernandez & MacKenzie (2010) state that the literature on leadership for social justice provides no clear consensus on what an entire educational leadership program oriented toward social justice would include (p. 1). However, it is clear that educational leadership programs must have a robust and clearly developed curriculum and instruction to prepare aspirant leaders to efficiently implement social justice best practices. Preparing prospective leaders to embrace the many dimensions of social justice must include multiple instructional approaches in order to build knowledge capacity, increase understanding, and effect behavioral change to promote positive school based outcomes. The instructional approaches must connect major learning theories and leadership principles and be anchored in national, state and district leadership standards and social justice concepts.

CONCLUSION

Just as North (2006) claims that "educational policymakers frequently employ this catch phrase without offering an explanation of its social, cultural, economic, and political significance" (p. 507), educational *leaders* also tend to use "social justice" without deeply understanding its meaning or implications. Understanding oneself and recognition of the "other" is challenging and uncomfortable. Nevertheless, it is a critical step toward leading from a social justice framework. Moving beyond knowledge, understanding and recognition to action is difficult, often unpopular, and exhausting. However, if more educational leadership preparation programs adopt social justice pedagogy as a matter of common practice, it will become more comfortable and more accepted. Leaders for social justice will then be able to promote behaviors in schools and communities in contexts such as Connecticut and elsewhere, that further opportunities for the least privileged and thereby enhance a democratically principled society for everyone. According to Larson (2010), "as a field, we need to balance this call for greater emphasis on instructional leadership and accountability in leadership preparation with other vitally important goals, goals that, ultimately, shape the kind of schools and communities we wish to create, and, ultimately, the kind of society we want to be" (p. 323–324). Preparing leaders for social justice is challenging, however, it is necessary, for "when capable educational leaders embrace the broader purposes of education for increasing social justice for children in a democratic society, they can have an enormous impact on the lives of children and families in their communities" (2010, p. 324).

NOTES

1. The decision in this landmark case found that "the race-based segregation of children into "separate but equal" public schools violates the Equal Protection Clause of the Fourteenth Amendment and is unconstitutional" (http://www.lawnix.com/cases/brown-board-education.html, accessed 9/20/13).

2. "The settlement agreement in *P. J. v. State of Connecticut Board of Education* was signed 11 years after the case was brought on behalf of all mentally retarded and intellectually disabled children in Connecticut. The agreement identifies five main goals toward educating these students in the least restrictive environment (LRE), as required by the federal Individuals with Disabilities Education Act (IDEA). As a result of the settlement agreement, 24 districts have been identified for targeted monitoring and are each eligible for up to $ 50,000 in grants. The agreement also calls for the state to establish a data monitoring system, provide technical assistance, increase parental involvement, and convene an expert advisory panel" (http://www.cga.ct.gov/2003/olrdata/ed/rpt/2003-R-0717.htm, accessed 9/20/13).

3. "The *Sheff v. O'Neill* agreement, entered into on January 22, 2003, must be submitted to the General Assembly for its approval and ordered by the court in order to take effect. Its provisions aim to reduce racial, ethnic, and economic isolation in the Hartford public schools. It requires the state to (1) create eight new interdistrict magnet schools in Hartford, (2) expand the Open Choice program to provide additional seats in suburban schools for minority public school students from Hartford, and (3) provide increased funding for interdistrict cooperative programs serving Hartford public school students. The parties intend for the agreement to remain in effect until June 30, 2007."

4. The term "achievement gap" is traditionally used, however we recognize that it can connote negativity (and instill low self-concept) for lower performers (as opposed to a term such as the "opportunity gap"). Also, it suggests that the onus for closing the gap should be on the students rather than the adults (teachers, school leaders, policymakers) to take action to redress a situation which includes many environmental and financial considerations over which students have no control—this in itself being a social justice issue.

5. It is notable that part of the reason for the large "gap" is because the most affluent students in Connecticut attain some of the highest scores in the nation. However, the gap is an extremely persistent equity issue and one which demands attention at school- and state-levels to ensure better educational provision and outcomes for the poorest students in the state.

6. The brief analysis conducted here included a review of: 1) program websites and 2) course catalogue descriptions, where available online. The term "social justice" was sought, as well as core concepts of social justice (equity, equality, power, privilege, race, ethnicity, gender, poverty, etc.). No syllabi were reviewed, and the authors recognize that there may be explicit treatment of social justice in syllabi or other course materials. However, the lack of any reference to social justice core concepts or the term itself in public documentation was striking.

7. Segregated schools are generally defined as having at least a 75% non-white or 75% white population; hyper-segregated schools have at least a 90% non-white or 90% white population. Put another way, only 11% of Hartford's students were attending integrated schools in 2007–2008 (Thomas, 2012).

8. http://quickfacts.census.gov/qfd/states/09/0937000.html

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Section 2

Professional Development for Educational Leaders

Introduction

Cynthia McDaniels

The development of high quality school leaders is critical to school improvement and student performance. School leaders have the responsibility for guiding learning communities in creating a sustained vision, establishing a climate that promotes achievement and efficiently managing all operations of their schools. Therefore it is imperative that leadership preparation be clearly focused with explicit goals that unequivocally prepare aspiring leaders for the high stakes challenges that they face in schools in the second decade of the twenty-first century and beyond. According to Hitt, Tucker, and Young (2012), "Given the sweeping influences of effective educational leadership, our schools, teachers, children, and communities deserve highly qualified, rigorously prepared leaders" (p. 1).

The issues that confront school leaders require the understanding and application of multiple leadership theories as well as the pedagogical and andragogical approaches to learning and professional growth. A robust approach to professional development must facilitate leadership analysis, provide for active engagement, and require an examination of tacit assumptions about schooling and its purpose in society.

Leaders in training must develop a deep understanding of the complexities of learning communities, including the role of human dynamics that influence academic and social outcomes for all stakeholders. There are many factors that must be considered in effective leadership development that occurs both within and outside of the school. The chapters in this section provide insight into the process of becoming a leader as well as content knowledge that is essential to current leadership development.

Chapter 5 recognizes that the ecological framework has increasingly entered the educational discourse because it provides a critical perspective of the social and psychological context for student learning and foundational knowledge that the leader must have. The authors present the developmental and social culture influences on learning that are at the foundation of the holistic ecological framework. Just as the child is not compartmentalized, neither should the approaches to educating them be approached from one agency or theoretical construct. The authors present the underlying principles of the ecological framework and the role of school leaders in creating and leading an ecological framed based school. The chapter integrates related frameworks and theories including Comer's developmental framework's six critical pathways that are essential school success (Comer and Haynes, 1993). A key feature in the chapter is Lola Nathan, an eco-driven school leader that showcases the benefits of the ecological framework.

Chapter 6 provides an overview of school leadership in the context of educational reform. The authors discuss the development of school leaders from several perspectives. They begin with a brief overview of historical legislative and judicial decisions that have shaped education policies and practices in the latter half of the twenty first century. This introduction provides a strong context for the analysis of contemporary approaches to understanding school leadership. The authors thoroughly review the notion of the learning society in educational reform. They present the demands of the learning society from an organizational theoretical perspective in school transformation. Leadership theories that are used by successful leaders as well as the conditions for change agent leadership. Finally the authors provide a culture context for effective leadership.

Chapter 7 explores leadership in the context of globalization, international and comparative education. The author begins with the mission statement of her university that highlights that globalization is an important instructional and learning objective. Maresi (2010) "A second challenge is how to internationalize graduate education at home. Presidents and provosts have visions and missions of educating world citizens and striving to be a world-class university, yet our everyday life in higher education has not kept pace with these changes. How can we integrate internationalization into the everyday life of teaching and learning?" (p. 9). There is a growing acknowledgment that students and teachers should be able to incorporate a global perspective across content areas. School leaders who appreciate and understand the principles of globalization are poised to tap into members of their school community who have international experience and interests to promote an understanding of the many facets of globalization. Each academic discipline provides opportunities for learning about the implications of phenomena in a globalized world structure. The author clearly explains the concept of globalization and related concepts of international and comparative education and the imperative need for school leaders to recognize and ultimately create an environment for school children to learn to view the world from multiple perspectives ranging from their local communities to the world at large.

Chapter 8 examines the process of becoming a leader. The author explains the importance of content and skills that are required for professional growth in leadership programs. There are many processes that are involved in the development of a school leader including the interaction of the aspiring leader on personal topics that include the multiple roles they play, the individual's ego development, and the personal views of the many aspects of school leadership. This chapter explores the key elements in leadership growth including the influence of motivation and feedback. Graduate programs are an integral part of professional growth because they provide essential content, opportunities and support for the aspiring school leader. The author chronicles Maggie Gillis' professional growth journey to become an effective leader.

Chapter 9 examines the importance and the benefits of field experience in educational leadership programs. With the adoption of national leadership standards, leadership programs have increasingly subscribed to standards of providing high quality field experiences for leaders in training. The transition from teacher to school leader often takes place in the school embedded school and district where the aspiring leader works (Hitt, Tucker, and Young, 2012). "Building ways for districts and universities to authentically collaborate and make shared decisions strengthens the relationship as well as the profession" (p. 3). The essential elements in internships are presented with an emphasis on the mentoring process, the opportunity to perform a service in the community, and to develop a school based project that contributes to school improvement and student learning. The author shares reflections written by her interns throughout the chapter to highlight the benefits of the field experience in educational leadership.

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Chapter Five

An Eco-Developmental Framework for Educational Leadership

Norris M. Haynes and Cynthia McDaniels

Effective leadership recognizes, pays attention to, and seeks to help to address, directly or indirectly, the many factors that impact student development, learning and achievement. Students' learning and performance are significantly influenced by the developmental, socio-cultural and learning contexts in which they grow, live, and learn. There is a collective societal responsibility to nurture, develop and enhance students' potential for success. Schools share that responsibility but cannot do it all. School leaders should do all that they can to encourage and support a healthy learning environment for all students:

> This new millennium has brought new challenges for school leaders across our nation. Now, more than ever, it is imperative that leaders initiate and cultivate communication, support, trust, a safe environment, and competence within their school cultures. Because of the demands placed on school leaders today, continuous renewal becomes even more important than it has been in the past (Hensley & Burmeister, 2008 p. 33).

The Educational Testing Service (ETS) produced a report that identified several school and non-school factors that influence student achievement. Barton (2005), author of the study, noted that gaps in student achievement reflect disparities in school, developmental and nurturing factors that are linked to student achievement. He noted:

> From time to time there are disagreements about how much importance to assign to one set of factors as compared with another. There is fear that looking outside school will give excuses to the schools. And there is fear that a focus entirely on the schools will cause neglect of matters important to chil-

> dren's wellbeing and learning, and of expecting more of schools than is within their capability (p. 38).

It is widely recognized that many children do not perform to their fullest potential in school, while others may be better prepared socially, emotionally and academically to learn and succeed. One of the goals set forth in former President Clinton's Goals 2000 education initiative stated that "by the year 2000, all children will start school ready to learn." This goal statement was significant because of what it admitted and what it implied. The statement admitted that, just over a decade ago, not all children started school ready to learn. It implied that with proper and adequate interventions, all children, including those in the most economically depressed communities and those whose first language may not have been English, could achieve adequate cognitive skills that would enable them to learn. Over a decade later this goal remains unrealized and may be more distant than one would have hoped or expected.

The goal held out a promise to address a vexing problem confronting many of our nation's school children who, despite other high profile federal pronouncements such as "No Child Left Behind" and "Race to the Top," are still being left behind and not running the academic race to the top very well. Many of these children, if given the proper preparation and opportunities, and with appropriate attention paid to their overall development, can learn, achieve, and succeed in school. The educational approaches that continue to de-emphasize or ignore students' readiness to learn at every stage in the educational process from preschool through high school, and the ecological factors that help to get and keep them ready, will continue to fail these students. Teachers cannot pour knowledge into non-responsive and socially and emotionally unready students just as responsive and ready students cannot be expected learn from school faculty and educational leaders who are unready and unprepared to teach/lead, and nurture and support students' social, emotional and academic learning.

Educational leaders are expected to be not only the instructional leaders in their schools and school districts. They also must be leaders who ensure that the school climate, the curriculum, assessment approaches and overall culture of the school embody an ecological perspective that embraces every child. Educational leaders must truly reflect in practice what has been a cliché to many, but remains an irrefutable truism, that all students can learn. This truth becomes reality only when the adults who are responsible develop children's potential and really and take appropriate action to translate "can learn" into "will learn." This requires attention to the ecological factors that influence students' learning and school success.

ECO-DEVELOPMENTAL FRAMEWORK OF LEARNING READINESS AND SCHOOL SUCCESS

The eco-developmental framework designed by the first author, draws from the two ecological systems theories and perspectives of Bronfenbrenner (1974) and McLeroy et al. (1988) and mostly from Comer's (1993) developmental pathways framework. Over the past decades, various writers and thinkers have offered theories of human development and behavior that have influenced how researchers and educators consider and examine social and educational interventions. Notable among these ecological perspectives are Bronfenbrenner's (1993) and McLeroy et al. (1988) and Comer (1993).

Bronfenbrenner advanced a theory of human development and learning that he called the ecological systems theory. He identified five ecological systems. The systems are: (1) Microsystem that includes the most proximal influences on children's development such as family, peers, schools, religious affiliations; (2) Mesosystem which is the network of dynamic connections and interaction s among the factors in the microsystem; (3) Exosystem which consists of interactions or linkages between elements in the microsystem and events that affect a child's development but that are outside of the microsystem. Included for example might be a child's parent being laid off from work, thus impacting the financial stability of the home, the influence of the media or availability of services; (4) Macrosystem which includes the larger sociocultural context in which the child and family live; (5) Chronosystem which refers to the historical trends and patterns in life events that impact children such as divorce rates over time.

McLeroy *et al.*, (1988) also offered an ecological model that they used to help explain human behavior. Their ecological model includes five levels of influence: (1) the individual level that includes an individual's skills , knowledge, education values beliefs and other personal attributes; (2) the interpersonal level, which includes social relationships among individuals; (3) the organizational level, which is concerned with the way institutions are structured, operate, managed and organized; (4) the community level, including the communities that individuals operate in (e.g. professional networks, associations, neighborhoods), community attitudes and the relationship among different institutions within communities; and (5) the policy level, which refers to policies and regulations affecting intervention participants and the institutions in which they function.

In Comer's developmental framework, six critical pathways are proffered as essential developmental paths along which children must develop well to be ready for successive learning challenges and to be successful in school (Comer and Haynes, 1993). These pathways are: physiological, speech and language, ethical, social interactive, psychological/emotional and cognitive/academic. Families, schools and local communities must engage children and serve them in ways that nurture and maximize their potential along each pathway. Good developmental along each pathway is manifested in associated readiness indicators explained in the description of the eco-developmental framework in the following section.

It is our experience that school leaders who create, encourage and support the holistic development of students are leaders who are highly respected by students, staff and parents. They are seen as inspirational leaders by most staff members and most likely have in their schools highly motivated and engaged students and parents. Many of these schools with which we are familiar have realized significant and sustained positive changes in student success behaviors and academic gains. According to *the Eco-Developmental Framework of Learning Readiness and School Success* (Haynes, 2000), there is a dynamic process of reciprocal effects among several key factors which influence children's learning readiness and school success. The framework includes six components: individual potential, the larger distal social context, the proximal social contexts, developmental pathways, readiness indicators and school progress and growth.

Individual Potential

In this framework, potential is a constant, we assume that every child is born with as much potential to learn and achieve as any other child except in cases where there are specific identifiable congenital physical, mental or cognitive

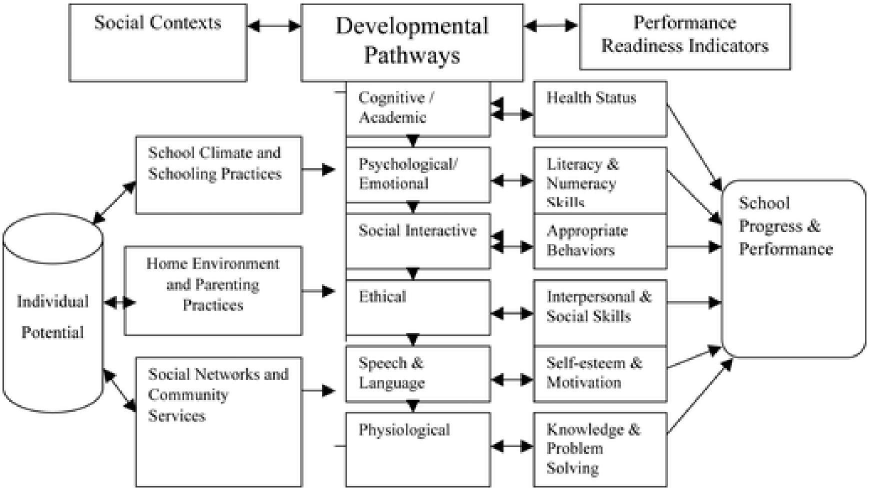
Social Contexts
Developmental Pathways
Performance Readiness Indicators
Cognitive / Academic
Psychological/ Emotional
Social Interactive
Ethical
Speech & Language
Physiological
Health Status
Literacy & Numeracy Skills
Appropriate Behaviors
Interpersonal & Social Skills
Self-esteem & Motivation
Knowledge & Problem Solving
School Climate and Schooling Practices
Home Environment and Parenting Practices
Social Networks and Community Services
Individual Potential
School Progress & Performance

Figure 5.1. Eco-Developmental Framework of Learning Readiness and School Success.

factors that impact development. There is no natural genetic endowment that contributes to one child being more ready than the other. The potential to learn and succeed is a human endowment that all children come with into this world. It is usually the world that imposes limits on how children's potentialities develop.

Social Contexts

The social contexts into which children are born and in which they are reared, nurtured, schooled and socialized significantly influence the development, maximization and realization of their potential. In the ecological framework presented here, there are two broad social contexts: the distal larger national context and the more proximal social contexts such as families, communities and peer groups. Proximal social contexts are nested within the larger more distal national context and are influenced by it.

Larger Distal National Social Context: In American society, racism, classism, sexism and policies and practices based on these, and on political considerations, all of which are part of the larger distal national social context, influence how well families are able to function, how well children are prepared and taught in pre- and grade school and how well communities are able to respond to the needs of children and families. The power of the media is also a significant influence on children's self-perceptions, their learning and school success readiness. It is important therefore, for all of us who are concerned about the welfare and readiness of all children to learn to advocate for policies and programs at the national, state and local levels that are fair, equitable and supportive of the maximum holistic development of all children.

Proximal Social Contexts: Despite the influence of the larger national context on families, schools and local communities, the elements of the more proximal social context are more directly influential in children's lives, and have more direct power to impact their development. Therefore, individuals who interact with children on a daily basis in school and outside of school assume primary and major responsibility for the day to day, on-going consistent shaping and nurturing of children's potential. Families, schools and communities must become more child-centered and responsive to the developmental needs of children. Parents or guardians must spend more quality time with their children, read with them more, play with them more, listen to them more and become more involved in their learning. Schools must be more sensitive and responsive to individual differences, reach out more to families and children, provide more opportunities for children to demonstrate their special talents, challenge children more through high expectations and a caring sensitive climate, and provide mechanisms to address the special needs of all children. Schools can play a pivotal role in connecting families and children to needed services. Local communities must provide the support services families and children need, including health, recreation and educational services, in a manner that is accessible and affordable.

Together, these three elements of children's proximal social context help to shape and nurture children's development along critical developmental pathways and thereby their school readiness and success. The educational leader can and must play a pivotal role in helping to mobilize, coordinate, encourage and support the dynamic interrelated interface of these three elements in supporting children's learning and school success.

Developmental Pathways

There are six critical developmental pathways along which children must develop well to be ready for and be successful in school (Comer and Haynes, 1993). There are: physiological, speech and language, ethical, social interactive, psychological/emotional and cognitive/academic pathways. Families, schools and local communities must engage children and serve them in ways that nurture and maximize their potential along each pathway. Healthy development along each pathway is manifested in the associated readiness indicators shown below.

- Cognitive/Academic: Knowledge and Problem Solving Skills
- Psychological/Emotional: Self-Esteem and Motivation To Learn
- Social Interactive: Interpersonal Skills and Social Competence
- Speech and language: Literacy and Numeracy Skills
- Ethical: Constructive Decision Making and Appropriate Behaviors
- Physiological: General Physical and Health Status

Performance Readiness Indicators

The performance readiness indicators are measurable and can be assessed over time. Assessment of these indicators should be undertaken not for the purpose of classifying or retaining children but for the purpose of intervening and feeding information back to families, schools and communities that may need to adjust or strengthen programs and activities. Readiness for success then is viewed within the framework of a dynamic process of change and growth over time, connected to comprehensive service delivery and access, with formative assessment, feedback and program adjustments, to better help children develop, learn and progress well in school.

THE ECO-DEVELOPMENTALLY DRIVEN EDUCATIONAL LEADER

The eco-developmentally driven educational leader recognizes that it is important to create learning environments that are supportive of children's total development and that are responsive to their needs. The leader acknowledges that personalization can be used to help ground school stakeholders in the use of everyday relationships to allow schools to function well and produce successful students. The leader is influenced by the key elements in the eco-developmental framework. He or she acknowledges that each student comes to the learning environment with potential to succeed with the appropriate effective social and educational interventions. The leader recognizes that social contexts, homes, schools and networks of support help to nurture and develop and shape the potential that students bring to learning. They seek to capitalize on the resources of these social contexts to maximize students' development along the multiple pathways described in the framework. As social contexts support students' development along the critical pathways, educational leaders are able to lead efforts to monitor, assess and influence learning readiness and performance indicators which in turn determine students' school success.

An effective leader understands and makes certain that opportunities for development along the critical pathways occur through the existence of structured opportunities for interaction. These ongoing interactions among and between students and adult stakeholders contribute to student development along the critical pathways. The eco-developmentally driven leader then creates a context and culture where personalization of the schooling experience is assured for all students. The personalization of the schooling process is understood by the leader to be based on seven non-negotiable basic premises that are articulated by Haynes et al. (1993):

1. A child's overall development is influenced by his or her interactions with significant adults.
2. The transition from family to school is influenced by the ability and willingness of educators and parents to manage the challenges that emerge when there is divergence between the culture of the school and the culture of the home.
3. The ability of parents and educators to facilitate academic learning rests on a relationship between adults and children, that is characterized by trust, support, positive regard, high expectations, affiliation and bonding.
4. Adults and children are able to best meet their responsibilities in a supportive climate that emphasizes a no fault approach to identifying and solving problems, decision making processes that generate con-

sensus, and structures that promote collaborative working relationships.

5. The best decisions about programs and strategies, including curricula are made based on the careful analysis of qualitative data about the characteristics and needs of students.
6. The welfare of the child becomes the concern of all significant adults in the child's life and programs and activities are planned, implemented, and evaluated on the basis of their benefit to children.
7. Adult decision makers choose programs that fit students rather than conclude that there is something inherently wrong with students when children do not benefit from programs.

These premises suggest that effective and personalized education requires that school leaders, school staff, and other adults who influence children's development should understand child development issues and be able to have this understanding reflected in the school's curriculum, pedagogy, and social activities.

ECO-DEVELOPMENTALLY DRIVEN EDUCATIONAL LEADERSHIP EXAMPLE

Lola Nathan, Principal at Davis Street magnet School in New Haven Connecticut exemplifies an eco-developmentally driven leader who understands, values, and promotes a personalized school culture and learning environment for students. She demonstrates the attributes and skills of a "situationally adroit" leader proffered by the first author of this chapter in the introduction to this book. She is sensitive to the needs of her staff, students and parents and responds effectively to varied psycho-educational needs of a diverse student body and stakeholders.

As one enters Davis Street Inter-district Magnet School (Davis Street School) in New Haven Connecticut, one immediately senses a climate of warmth, friendliness, safety and high expectations for all. I, the first author of this chapter, have had a long and mutually rewarding professional relationship with the principal, Ms. Lola Nathan and the staff at Davis Street School. I have conducted group sessions with students and made presentations to faculty and parents over the years. I have seen the transformation that has taken place as Davis Street School has become a highly acclaimed school of first choice among many parents and students across the State. This transformation is due in large measure to the eco-developmentally driven personalized leadership philosophy and approach instituted by Ms. Nathan and bought into by her staff. At Davis Street School each student is recognized and treated as special.

Ms. Nathan's embrace of eco-developmentally and personalized driven educational leadership at Davis Street School is not surprising. She is known as a leader who pays close attention to the needs, interests, backgrounds and concerns of students and their families. She is known to celebrate diversity and to incorporate the diverse social and cultural backgrounds and experiences of students and families in the school's programming as discussed in chapter 9. Every year, Davis Street School hosts an international day celebration that features a parade of flags, brief historical and geographical backgrounds and food from all countries represented among the students and families. She uses this experience as an educational, teaching and learning opportunity. She constantly seeks ways to increase and improve the involvement of families and the community at large as partners in the educational process at Davis Street School. Her record of accomplishment and her reputation as an inclusive visionary leader in the district preceded her arrival at Davis.

Prior to coming to Davis Street School, Ms. Nathan had been assigned as principal to other troubled schools in the district that she helped to turn around. At one of the other schools, Ms. Nathan introduced the concept of the "Raisin' Up Club." In this club, each student who showed documented improvement in a social and or an academic area of assessment was recognized by being inducted in the "Rasin' Up Club." The word "raisin" had a double meaning. It was the word "raising" shortened to "raisin" as a part of a catch phrase, "raisin up" and allowed for the "raisin" to be used as the club's symbol. The concept of the "rasin up" club, part of a personalized approach to teaching and learning, sparked enthusiasm among students and parents alike and helped to achieve significant social and academic progress among students. Students felt more connected to school, more motivated to keep trying to adjust, adapt, learn and achieve. So, Ms. Nathan seemed to be the natural choice for the leader who would help to remake Davis Street School from a less than stellar school socially and academically and needing improvement, to one of the best schools in the district and perhaps the State.

As I entered Davis Street School recently for an interview with Ms. Nathan for this chapter, I was welcomed warmly by a smiling and polite office assistant. I entered Ms. Nathan's office and could not avoid the ambience of "childrenhood" represented in the pictures and artifacts that graced her desk and walls. She is about to retire and there was a tinge of sadness and pre-retirement nostalgia in her voice as she spoke lovingly and warmly about the children and families that she has served for so many years and about her staff whom she considers family members and about her life's work as an educator and an authentic educational leader.

She shared with me her philosophy of leading that has made her the stellar, impressive successful leader she has been for so many years. She became a teacher to make a difference in children's lives; to help them see the possibilities that await them if only they dream and learn, learn to dream and learn how to learn. She has always known that she cannot give to others what she does not have herself. So she did all she could to get what she wanted to give: compassion, respect for others, love for learning, desire to do good, and a belief in self. It is clear to Ms. Nathan more than ever now, and has been for the greater part of her career as an educator, that students learn best when they feel best cared for, best understood, best supported and best involved in the learning process. She pondered how better to teach and to lead than to make sure that all aspects of children's lives are considered in planning, designing and implementing programs in her school that affect them day after day. There is no better way she opined.

At Davis Street School, Ms. Nathan made it a priority to know each and every student well; to involve students' families; to use assessments wisely to gauge each student's progress and to make sure that each student's growth is monitored. For Ms. Nathan and her staff, it is not about testing; it is about learning. It is not about the test scores; it is about the student.

Ms. Nathan describes her leadership style as basically collaborative. She involves the staff in decisions. She involves parents. She involves students in decisions where their input can be helpful. She also believes strongly in accountability and in responsibility. She does not accept mediocrity from herself, the staff, the students or the parents. Ms. Nathan and her staff have very high standards. As leader she provides the support and resources needed to meet those standards. She asserts that she must always uphold the highest possible standards. As a result, students at Davis Street School learn well and they perform well.

Ms. Nathan discussed her efforts to personalize her school's environment so that it would reflect and project the backgrounds and interests of her students, parents, and the local community. The use of murals around the school and artwork in the classrooms helps to brighten up the school and also to project the culture and interests of the local school stakeholders. These steps help to place both the students and their parents in a school climate that is comfortable and supportive of children's growth and of their engagement in learning.

Ms. Nathan's eco-developmentally driven school leadership and management approach is based on the principles, mechanisms and operations of the School Development Program (SDP) (Comer, 1980). The SDP's approach to personalized schooling is one that attends to the total development of children. It is the SDP's proposition that children learn best when their basic needs are met, and when the significant adults in their lives work collaboratively to encourage, support and nurture them. This proposition has significant implications for the manner in which schools are organized, and how children are taught and how leaders lead. The context and content of schooling and the leadership demonstrated should reflect sensitivity and responsiveness to the developmental needs of children, and to the varied social and cultural experiences that children bring to the schooling enterprise as exemplified in Ms. Nathan's approach at Davis Street School.

When leaders lead by example, as in Ms. Nathan's case, eco-developmentally driven practices, including "situational adroitness", become infectious. Many, and hopefully all members of staff respond to that leadership by engaging students in a eco-developmentally informed way. This was demonstrated during my visit to Davis Street School during last year's international day celebrations. I entered a room where food from the country of Trinidad and Tobago was being served and a chart with geographical and historical information of that island nation was on display. I was greeted by the teacher Ms. Marilyn Leotaud, a clearly well-loved and respected member of staff who introduced me to two young students, both natives of New Haven, Connecticut standing next to the chart. They proceeded to take turns instructing me on the geography and history of Trinidad and Tobago, pointing out the capital city of Port of Spain on a map and explaining the origin of the name of the Island as well as the capital city. They shared information about the demographic distribution of the population, the history of immigration to the Island resulting in the present demographic profile, the culture, music, economics and politics. I was then treated to a delicious array of delicacies that are particular to Trinidad and Tobago. I was impressed. What I experienced was a multifaceted teaching and learning experience for the students in a climate of inclusion that embraced the diverse cultures of all students and their families.

It is through this kind of eco-developmentally driven personalized leadership and embracing of students' learning diversity that Ms. Nathan demonstrates "situationally adroit" leadership and that she and her staff at Davis School implement a schooling process that addresses the individual and collective psycho-educational needs of all children. Ms. Nathan clearly shares our proposition that schools alone cannot and should not be expected to address all of a child's developmental needs. The meaningful involvement of parents, and support from the wider community are essential to our schools' ability to educate children well. When parents and the wider community become full partners in children's education and development, a more holistic educational approach is possible, because many of the significant adult stakeholders in children's development become engaged in providing essential services to children and families. In the eco-developmentally driven personalized approach schools are organized to allow for the full involvement and participation of all staff, parents and students in the life of the school. Members of the wider community are also involved in the process of developing and nurturing children through the schooling process. The positive climate established at school-wide levels can be built upon by teachers in the classroom for positive learning outcomes.

Ms. Nathan credits much of her leadership approach to her belief in and use of the Comer School Development Program (SDP). At the heart of the SDP process for helping schools to become more personalized are the respectful and mutually supportive relationships among adults in schools, including staff, parents and other adults from the community. Children learn from observing how the significant adults in their lives interact with one another and with children; how decisions are made and executed; and how problems are solved. They also learn from how adults treat them as children, and how much effort is given to ensure that their psychosocial and academic needs are totally met. The emphasis on the school being an interactive community helps to legitimize the teacher (and other adults) as sources of knowledge in the classroom. Additionally, the inclusion of students as sources of knowledge in their own right helps to personalize the flow of information between teacher and student. This kind of flexibility in both the school and classroom environments can yield positive learning gains for students.

The most effective relationships are those that are based on feelings of mutual empowerment and a keen sense of individual and collective efficacy. School staff, parents, and members of the wider community are seen as equal partners in the process of school improvement. The relationships among students themselves are very important sources of motivation and affirmation. Children who feel socially connected to school, and who derive positive self-affirmation from interactions with peers, are more likely to be academically motivated and to want to attend school. If the peer culture is one that values pro-social behavior, academic learning, and achievement, the connected student would be more likely to want to be an achiever. The school culture, however, must send positive messages about what it means to be a student, teacher or parent at that school in order to both promote and realize significantly positive psychosocial and academic growth (Pallas, 1988).

Eco-developmentally driven school leadership recognizes that personalization is a means of adapting the school environment to the needs, perspectives, and concerns of the individuals being taught. In personalizing teaching and learning, the eco-developmentally informed school builds and strengthens the capacity within the school to address the total development of all children. This is accomplished through a process of empowerment that establishes true collaboration and mutual respect among all the significant adults in children’s lives, including school staff, parents, other members of children's families, and significant others in their communities. Children themselves are respected and taught to respect others, their peers and the adults in their lives.

Essential services to children and their families are structured, coordinated and made more accessible, with schools playing a pivotal role. Schools alone cannot completely educate children, neither can families alone. But working together we can prepare children well to face the future effectively and successfully.

The eco-developmental framework advanced in this chapter emphasizes that the participation of school, parent and community stakeholders in an ongoing collaboration is an important component for school success with developing children, particularly in districts with diverse student populations. Increased appreciation by all school stakeholders of the perspectives, values, and viewpoints across their school community can lead to more effective, authentic, and relevant classroom pedagogy. Parents can become engaged in the educational enterprise in meaningful ways which empower them to be a more powerful and positive force in shaping their children's development. Homes, schools and communities become connected together in a support network that is designed to personalize the educational process and help children to develop holistically.

TEACHING APPROACH

Principles of eco-developmentally informed school leadership are infused throughout several courses, including the internship. These courses explore principles of learning, teaching and school management that underscore personalized leadership. Specifically, courses examine the leader’s responsibility for and role in the improvement of teaching and learning through addressing the development and learning needs of students and the professional development needs of faculty. The courses introduce aspiring school leaders to the theories and practices necessary for analysis and improvement of the social and learning contexts including instructional environment of schools in which they will practice. With an infused theoretical and research base, practice is related to instruction, assessment of student performance, and meaningful professional development. Prospective leaders practice strategies for analysis of learning environments and appropriate instructional leadership. The courses require students to integrate understandings of learning theory within an eco-developmental framework as a basis for promoting learning gains for all students.

Upon completion of these courses, students are expected to be able to demonstrate knowledge of factors that contribute to student development and learning, ability to identify, develop and implement effective instructional strategies appropriate to meet the needs of diverse learning populations and ability to analyze and support staff in analyzing school climate and student developmental and learning trajectories to formulate school planning and management strategies that improve school culture and climate.

Aspiring leaders participate in a variety of structured experiences designed to give them practice in learning skills necessary to become effective and "situationally adroit" school leaders. These experiences include simulations, case studies, empirical data collection and analysis, and various small group discussions. A major feature of eco-developmentally infused courses is an opportunity for students to conduct a review of the literature and make linkages to issues in their schools. A variety of modalities are used with primary emphasis on class discussion, project preparation and presentations, and a major school-site analysis exercise. Project based learning is used as a way to fully engage students in the experiential aspect of courses. The combination of meaningful projects, readings, and the variety of modalities allow students in educational leadership programs to build a deep knowledge base, apply course work, and reflect upon practices that ensure the success of an eco-developmentally based leadership approach to effectively address the complexities of education in American society.

As we conclude this chapter, we are reminded of an experience that the first author of this chapter had at Davis Street School. I was facilitating a psycho-educational group for fourth grade students that was focused on reinforcing students' interest in school, and changing their attitudes about school and learning from being disengaged and lackadaisical to being more positive, enthusiastic and involved. A goal was to motivate them to become more organized, intentional about work and academically successful. I called the group the *I*nterest, *A*ttitudes and *M*otivation (I AM) group. The students and I discussed inviting Ms. Nathan, the principal to join us for one of the sessions for a question and answer interactive exchange about what being a principal is all about and how she liked being a principal. The students were excited. Ms. Nathan came to the group and graciously answered the students' questions. One student asked: "Ms. Nathan, some students think that principals are mean but you are not mean. You are nice and you care about us. How come?" Ms. Nathan gently debugged the notion that principals are mean and explained in clear understandable terms her views and her expectations for all students at Davis Street School. She explained mutual and reciprocal responsibility and accountability among students, staff, parents and the principal. The students listened attentively, most nodding approval and agreement as she spoke. As she thanked the students for inviting her to the group and stood up to leave, as if on cue, the group of students, boys and girls surrounded and hugged her, as in unison, they intoned: "thank you, Ms. Nathan". I was moved. I did not quite expect the students' reactions. As Ms. Nathan exited the room, I said to myself: "there goes a truly eco-developmentally driven and 'situationally adroit' educational leader."

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Chapter Six

Leadership Development

Sue Williams and Charles Williams

OVERVIEW OF EDUCATIONAL PRACTICE

This chapter presents a brief overview of the historical role and transformation of principals as they have progressed to become instructional leaders. It will describe how this role has changed as a result of national and local concerns. Many of these concerns grew out of the nation's awareness regarding the preparation of students, for successful participation in today's economy. This awakening led, and continues to lead, to a need to develop curricular, management and practice changes that are centered in a situational approach (Northouse, 2003). Situational leadership focuses on leadership in situations. According to Northouse (2007), strengths of the Situational approach are seen in (1) how often it is used to train future leaders; (2) how leaders find the Situational approach easy to understand; intuitively sensible and is easily applied in a variety of setting; and (3) it's prescriptive value (p. 96). Situational leadership accompanied by cultural consciousness, systems and complexity theory acknowledges how the interaction of forces have an impact on each other as they lead to transformation, These theories provide methods of examining variables that can contribute to out-come based education. Out-come Based education focus on defining, pursuing and assuring success with the same high-level culminating outcomes for all students (Brandt, 1992, p. 2).

It has become increasingly evident that in each of the past seven decades, we are faced with new challenges to provide efficacious educational opportunities to all children in public educational facilities. Brown v. Topeka Board of Education maintained that all educational settings in the public arena should be equal in facility, content, and purpose. This major push in equality has, in many places, led to more pronounced segregation and greater distancing between achievement levels in defined groups in our public schools today than in the years preceding 1954. The national focus on "educating all children" is the continual examining of processes, procedures and pedagogy in an attempt to provide a school culture that is designed to maximize the individual talents of each student.

A Nation at Risk: The Imperative for Educational Reform (1983) responded to then Secretary of Education T. H. Bell's observation that the United States' educational system was failing to meet the national need for a competitive work force. More importantly, this charter proved a wakeup call for the Nation. There was no stone left unturned in the *Commission's* effort to show the inadequacies of America's Educational System v. the world's more advanced societies. At the center of the Commission's concern was the quality of teaching and learning at the primary, secondary, and postsecondary levels, in both the public and private arenas.

While *A Nation at Risk* captured the attention of all Americans, especially those working in educational settings, the scrutiny afforded this initial act led our Nation's legislators to the point of reauthorizing the Elementary and Secondary Education Act (1965). A similar kind of restructuring has come to pass with the enactment of No Child Left Behind (NCLB), an Act that supports standards-based education reform founded on the premise that setting high standards and establishing measurable goals can improve individual outcomes in education. There was a considerable loss of time between the wake-up alarms of *A Nation at Risk: The Imperative for Educational Reform* and No Child Left Behind. A failed effort to unite the expectations and standards of each school through the formation of a National Curriculum gained considerable momentum during this period but fell short of national implementation because of political un-rest (Ratvitch, 2011).

While schooling is a state responsibility, NCLB mandated the expanded role of the federal *government* in public education through annual testing, annual academic progress, report cards, teacher qualifications, and funding changes. Perhaps the most challenging aspect of NCLB legislation was the national recognition of an "achievement gap" that exists between and among students that comprise our diverse learning population(s). Principals, (i.e. Instructional Leaders) are the designers of educational facilitation and delivery. They hold a pivotal position in the reframing of educational outcome based learning.

EDUCATIONAL LEADERS AND THE LEARNING SOCIETY

One key educational goal is creating a "learning society" and this is done, in part, through advancing learning organizations (Diggins, 1997). Achieving a learning society demands commitment, determination, and discipline. This includes commitment to ideals of inclusiveness and interconnectedness, determination not to distort or trivialize the deeper meaning that undergirds life, the discipline of seeing the wholeness of things, of constantly questioning assumptions that underpin our actions, of clarifying our vision, and of creating learning organizations where individuals are members not servants of teams of leaders (Diggins, 1997). A key problem arises when trying to unite leaders with learning organizations. When O'Neil (1995) asked how principals and other administrators in schools we could call "learning organizations" view their roles, Peter Senge (1995) reported "leaders have a greater impact when they see their job as providing learning environments where all staff members are continually placed in professional development that promotes self-growth."

Collectively, then, external and internal processes comprise the "learning organization" of the school. Reg Revans, Organizational Learning pioneer, states that "learning must be equal to or greater than change outside the organization, or the organization may not survive:" In Bierema, (1999). Senge (1990) argues: "A learning organization is a strategic commitment to capturing and sharing learning in the organization for the benefit of individuals, teams, the organization, and society." According to Bierema (1999), principals involved in learning organizations must heed the words of Watkins and Marsick (1993, p. 46–56). "A learning organization is one that learns continuously and can transform itself and includes the following characteristics:

- Leaders who model calculated risk taking and experimentation;
- Decentralized decision making and employee empowerment;
- Skill inventories and audits of learning capacity;
- Systems for sharing learning and using it in the business;
- Rewards and structures for employee initiative;
- Consideration of long-term consequences and impact on the work of others;
- Frequent use of cross-functional work teams;
- Opportunities to learn from experience on a daily basis; and
- A culture of feedback and disclosure (p. 8).

Diggins (1997) reports that education systems are undergoing a period of intense transition and transformation as America enters the global market, deals with global information systems and acquires an awareness of ecological interconnectedness of all natural systems. He further states that "it is becoming obvious to many that schools and school systems are structurally ineffective." For some like Starratt (1994), who feels the bureaucracy of school systems is coming to be seen as a lasting challenge and not simply a new occurrence. Are schools ethical organizations? Should we bear the burden of training our youth in moral and ethical education to insure the care and responsibility necessary for human survival?

> If a school is to foster educated citizenry for a democracy, then the school itself must be an example of a democracy….The substances of a school democracy are the decisions that improve the education of students, both collectively and individually, and the quality of educational life for the entire community (p. 5).

Principals/instructional leaders then become the leading operators in the establishment of "learning organizations." Alfred C. De Crane Jr. (1996) argues that we should be able to define leadership for learning organizations by examining the fundamental principles identified by future-oriented analysts like Alvin Toffler and Peter Drucker. We would suggest that Charles Handy (1990), Robert Starratt (1994) and others (Diggins, 1997) be added to their ranks. The importance of their collective work enables us to set up a core set of leadership competencies designed to meet future needs. These four areas according to Diggins (1997) are: character, vision, behavior and confidence.

- Character: Leaders of character are fair and honest not because they have to be, but because they are ethical, open, and trustworthy.
- Vision: Leaders have a strong vision themselves and they can assist those with whom they work to articulate a vision worthy of themselves. Shared vision, once articulated and committed to, can be a powerful motivator for action.
- Behavior: Leaders determine the culture of their organization by their behaviors: (1) relentless action to follow through on agreements; (2) constantly questioning the status quo; (3) seizing opportunities in the present, without compromising long-term planning; (4) creating environments where positive results and credits are widely dispersed among co-workers; (5) evaluating and affirming people; (6) thinking positively and realizing that every problem presents a learning opportunity; (7) and finally, seeking to integrate the best ideas in the task of building people and the organization, etc. (De Crane, 1996, p. 253).
- Confidence: Leaders exude confidence that is gleaned from their own strengths and weaknesses. According to Botkin et al (1979), two types of learning are required to demonstrate confidence: Maintenance Learning (that which is required in dealing with the predictable everyday events necessary to enable an organization too effectively manage itself) and Innovative Learning, (which is divided into two types: *anticipative learning* and *participative learning.*) Anticipative learning enables individuals and organizations to predict the future needs and shape of events so that

> the future enters our lives as a friend rather than an assailant. Participative learning is that which occurs when people within an organization collaborate, engage in dialogue and empathize with one another (Diggins, 1997).

These important concepts can be evidenced, for example, in the Six Standards that characterize instructional leadership according to The National Association of Elementary School Principals (1999) are:

- Lead schools in a way that places student and adult learners at the center.
- Set high expectations and standards for the academic and social development of all students and the performance of adults.
- Demand content and instruction that ensures student achievement of agreed-upon academic standards.
- Create a culture of continuous learning for adults tied to student learning and other school goals.
- Use multiple sources of data as diagnostic tools to assess, identify and apply instructional improvement.
- Actively engage the community to create shared responsibility for students and school success.

Education is the life force for a literate society and outcomes, failures, whether they are intentional or unintentional, puts the world “at risk.” The need for principals and/or instructional leaders to be champions of educational doctrines has never been more important than at this time. How do we prepare principals equal to the challenge and where do we find this new breed of culture makers?

KEY CHARACTERISTICS OF TWENTY-FIRST-CENTURY EDUCATIONAL LEADERS

Thelbert L. Drake and William H. Roe, 2003, report the following: “Looking back at the development of the principalship, one is somewhat surprised that the principal has had a role conflict because of the emphasis on management. In earlier days, the principal in most cases was selected on the basis of scholarship and recognized teaching ability” (p. 1). The smartest and most successful teacher earned the title “principal” as a direct corollary to their teaching success. Many of these principals had to navigate the expectations of the time period in education. Many navigated “The Coalition of Essential Schools:” (Sizer, 1984); The Effective Schools Movement (Bickel, 1983; Edmonds, 1979, 1981); Total Quality Management (Kurtus, 2001); Site Based Management, (Wohlstetter and Mohrman, 1994, p. 1); Management by Objectives, Drucker, (1954); Data Driven Decision Making, (2001) Professional learning Communities, Barth, DeFour, Eaker, Eason-Watkins, 2005 and Shared Decision Making (1994). Each postulated program proved instrumental in the transformation of principal into "instructional leader."

According to Leithwood, et al., (2004) "leadership is second only to classroom instruction among all school-related factors that contribute to what students learn at school." While learning in an established culture is possible, it has been proven empirically that solid principal involvement increases the achievement goals in said culture. Supporting Leithwood's findings, Darling-Hammomd (2003) reported: (1) high quality teaching and learning for all students depends substantially on effective school leadership and (2) American schools are hindered from providing effective education for all students because of a significant shortfall of effective leadership (p. 1).

Today's instructional leader must be able to focus on the two main characteristics of leadership; task and relationship (Northouse, 2003). Public schools, as organizations, were originally not designed to bring all students to a high level of achievement. Most administrators have experienced years of acculturation as students. Their assumptions and behaviors are seldom characterized in institutions whose missions seem to be teaching for learning for many (Lezotte, 1994). The principal has been the focused contributor in the educational continuum the shortest amount of time. They often time identify the major factors that must be considered or measured in determining the leadership capacity of an individual and/or learning organization. These factors are inclusive of internal and external processes that operate in the educational continuum. Yet each definitively has an unobstructed influence on the principal/instructional leader and learning body. Principals/Instructional leaders must take the reins in defining the school, initiating a viable learning culture, establishing the necessary in-roads in community, parents and student communications. Leaders must realize their role as being the linchpin in the molding of young scholars.

Leadership as a quality for school improvement became an active avenue of research in the 1960's and continues today. Leadership, defined, in the overall performance of students, teachers and achievement has developed as a natural course of research evolvement as we desperately seek members of the educational hierarchy to identify as "change agents" for successful schools. LeMahieu, et al., (1997) note the changing role of the principal in promoting an instructional vision and challenge for quality is no less important today than during the effective school movement. They have identified four conditions that define the challenge facing instructional leaders.

The first condition is the ethos of professionalism that permeates current reform efforts. The primary concern of this ethos is to promote professional empowerment of all that work in the schools. The principal/instructional leader must challenge the quality in practice without dictating or prescribing that practice. This is accomplished by equipping principals/instructional leaders to guide reflection, ask appropriate and challenging questions relevant to those concepts, and empowering them with the knowledge to detect powerful and appropriate answers.

A second condition of the challenge to principals as instructional leaders is the growing complexity of current visions of teaching and learning. There has been a major shift from pedagogical approaches that are based in transfer technologies (e.g., lecture, drill and practice, worksheets) to approaches that are more constructivists in approach (e.g., hands-on approaches, problem-based learning, and inquiry approaches, student outcome based results). These have profound implications for the nature of practice.

The third condition as reported by LeMahieu et al., (1997), is the standards-based reform movement. The standards-based movement (Fuhrmann, 1993; Spady, 1988) is a powerful and pervasive force guiding action within the education system. Testing daily, weekly, monthly is having a traumatic effect on school culture.

The fourth condition reported through LeMahieu et al., 1997, has to do with the environmental and contextual circumstances that impinge on educational efforts. They include the increasingly diverse student populations served by schools, as well as the special needs and backgrounds that they bring with them. Environmental factors also pertain to institutional conditions, varying from organizational structures to physical plants, from resource allocation to professional support.

> Wanted: A miracle worker who can do more with less, pacify rival groups, endure chronic second guessing, tolerate low levels of support, process large volumes of paper and work double shifts (75 nights a year out) He or she will have carte blanche to innovate, but cannot spend much money, replace any personnel, or upset any constituency (Fullan, 2000, p. 20).

This has proven itself as being the social assessment for pre-service leaders as they wrestle with school academic preparedness, school culture and reform.

COMPLEXITY THEORY

Fullan, in *Change Forces with Vengeance* (2003), makes it clear that we cannot get to new horizons without grasping the essence of complexity theory. There are a whole host of problems that are not amenable to authoritative expertise and standard operating procedures (Heifetz and Linsky 2002, p. 13). This then becomes adverse in our desire to promote and many times sustain change initiatives. Fullan states, according to Marion (1999), complexity theory responds that order emerges naturally because of unpredictable interaction—interaction is the vehicle by which this occurs and unpredictability is the stimulus that promotes novelty.…The argument proposed is that intersecting entities—atoms, molecules, people, organizations—tend (a) to correlate with one another because of their interaction, and (b) to catalyze aggregation. Correlation is what happens when two or more people exert interactive influence over one another … Auto-catalysis—the second point—begins when the behavior of one system stimulates certain behaviors in another system that in turn stimulates another and another; eventually the chain of stimulation returns to motivate, or catalyze, the original system and the cycle is reinforced. Order, then emerges not because someone or something expends energy to create it; rather order emerges from the natural, and free, consequences of interaction.

To better grasp the intent of the core concepts of complexity theory, they are listed below.

- Non-linearity: don't expect reforms to unfold as intended;
- Unpredictability: surprises will happen as a result of dynamically complex interactive forces;
- Interaction or correlation: a key element of moving towards order;
- Auto-catalysis: occurs when systems interact and influence each other toward new patterns;
- The edge of chaos: (could just as easily be called the edge of order) when systems avoid too little and too much order;
- Social attractors: (originally strange attractors in chaos theory) compelling social motivators—can extract periodic patterns of order (consolidate gains) as complex system dynamics unfold;
- Butterfly effects: (when small numbers of key forces coalesce) —can have disproportionately huge effects; and
- A complex adaptive system—consists of high degrees of internal interaction, and interaction externally (with other systems) in a way that constitutes continuous learning (Fullan 2003, p. 22–23).

In addition, everything that happens in a school has overarching moral overtones that are unmatched by any other institution in our society. Indeed, the school is the only true egalitarian institution in America (perhaps with the exception of the penal system) that accepts all clients (i.e., every student, regardless of race, ethnicity, creed or challenge). Ideally, the role of *in loco parentis* of teachers and administrators nests within actual parental roles. Students are best served when teachers, administrators, and parents act in concert and when their complementary roles represent not just a partnership but also a covenant on behalf of the students.

CULTURE AS A PRIME TENET OF A STRONG LEADERSHIP MODEL

Leaders are constantly bombarded with what is it that is important in this school? Why do we offer the courses we do here? How many parents assist in the articulated vision and the promotion of the school? What is the protocol for meeting with the principal? These questions many times formulate the public relations campaign for the school. Word of mouth messages may either take you to the top of the educational heap or bury leaders in the abyss of idleness. These questions are often embedded in the existing practices of the school and should provide a starting point for a new leader to immerse him/her into the current culture.

Sergiovanni, (2000) states "Culture is generally thought of as the normative glue that holds a particular school together" (p. 1). With shared visions, values, and beliefs at its heart, culture serves as a compass setting, steering people in a common direction. It provides norms that govern the way people interact with each other and provides a framework for what does or does not get done." The relationship requirement of leadership is more pronounced in the establishing of culture than at any other time. Culture building allows leaders to meet followers where they are, thus dispelling any misconceived notion that a new leader may have. These notions may have been erroneous, or assumptive, that there was no cultural practices in place prior to the new leader's appointment. It is important that a pre-service leader recognizes the importance of examining the existing culture in an attempt to identify the positives as well as the barriers that defeat or enhance the most aggressive educational reform efforts as he/she moves toward transformation. Culture acknowledgement also allows buy- in to establish personal ownership "ownership" as a natural condition for all that exist in the culture.

CONSTRUCTING A CULTURE OF COMPETENCE IN SCHOOLS

In *Leadership: Theory and Practice*, Northouse (2007) describes several approaches to leadership: (1) the *trait* approach which emphasizes the personality characteristics of the leader; (2) the *skill* approach which emphasizes the leader's capabilities and (3) the *style* approach which emphasizes the behavior of the leader. The *style* approach focuses solely on what leaders do and how they act. Style leadership is comprised of two general kinds of behaviors: task behaviors and relationship behaviors. The central purpose of the style approach is to explain how leaders combine these two kinds of behaviors to influence subordinates in their efforts to reach focus goals.

By many accounts, America's schools are in a state of crisis. However, it is not the crisis that one usually imagines. American schools are not awful, are not gutting our economy, and are not terribly unsafe. On balance, given the population they serve, they are probably doing as well as schools did several generations ago. The crisis lies in the sad fact that so few schools are excellent and so, many are mundane, mediocre, and poor. In spite of the realities, the adult community (i.e., educational and municipal entities and parents) responsible for school improvement is content to voice concern while forestalling and theorizing. The crisis is clear; the performance that was deemed acceptable in the past is neither tolerable nor defensible today.

The Nation's Report Card: Long Term Trend (2008) presents assessments in reading and mathematics that was administered in the 2007–2008 school year to students aged 9, 13, and 17. This report provides trend results in terms of average scores, percentiles, and five performance levels. Results are described by race/ethnicity, gender, and type of school. Sample test questions are provided for each age level in each subject. Overall, the national trend in reading showed gains in average scores at all three ages since 2004. Average reading scores for 9- and 13-year-olds increased in 2008 compared to 1971, but the reading score for 17-year-olds was not significantly different. The national trend in mathematics showed that both 9- and 13-year-olds had higher average scores in 2008 than in any previous assessment year. For 17-year-olds there was no significant difference between the average score in 2008 and those in 1973 or 2004. Most distressing is the notion children actually lose ground during their years in school, when compared to the minority who reveal fulfillment of potential. For example, while U.S. 9-year-olds score above norms established as international standards, U.S. 13-year-olds slip well below average, and U.S. 17-year-olds avoid the bottom only by eking past a few other nations. Since, as the pivotal institutions of civilization, schools have a crucial role in sustaining cultural evolution, educational success is imperative for the maintenance of societal integrity and progress (NAEP, 2008, p. 1).

Alas, with schools as America's only true egalitarian institution, the fulfillment of their mission is crucial to national goals. Schools are called upon to develop, inform and extend young minds; their processes must ensure that children master the essential learning skills of civilization, most critically literacy and numeracy. Once acquired, learning skills enable children to pursue post-secondary schooling, secure employment, and generate, frame, and express their thoughts. Learning allows their participation as free citizens, avoiding constraints imposed by circumstances of educational voids. Though many educators express the idea that educational travails are created by minimal funding, American schools are well funded by any reasonable standards of comparison. In 2000, the most recent year for which international comparisons are available, the "Organization for Economic Cooperation and Development reported the U.S. spending significantly more per pupil than any other industrial country. At the primary level, the U.S. spent 66 percent more per pupil than Germany, 56 percent more than France, 27 percent more than Japan, 80 percent more than the United Kingdom, and 62 percent more than Belgium (NAEP, 2003, p. 2).

Clearly, levels of funding may not be reasonable benchmarks for country causes of educational failure. Many educators suggest that the school system is overtly designed to reject competence, as teachers are prepared with rigorous but inappropriate and unrelated criteria for promoting successful learning. Teachers, confined by capricious and mundane standards that are inappropriately tied to the potential for success, are unaware of appropriate standards of useful learning and scholarship. As well, teachers are hired, with life tenure, through unrealistic recruiting processes. Once employed, they are assessed by ill-conceived and poorly administered protocols. The intended outcome of assessment that improved proficiency is unreachable since there is little consistent or systematic recognition of acceptable performance. Teachers are not displeased with this situation since compensation and desirable assignments are provided solely as rewards for longevity. Here, transformation of the system is failed by circumstance. Decisions based on data are the exception; concepts of efficacy and productivity are derided as politically and culturally unacceptable. The resulting “culture of incompetence” mitigates change and acts to exclude those individuals who are most able to create change. Collectively, teachers learn to avoid useful assessment and its consequent professional improvement by “keeping their heads down” and avoiding interactions that may lead to improvement.

Two paths to educational reform occur persistently: status quo reform and foundational sense reform. These reformers believe the nation’s school professionals are currently doing their best, and seeking new efficiencies, are accepting of the status quo. Consequently, they demand school improvement as an outcome of more teaching. They consistently embrace new pedagogies, smaller schools, and new assessment strategies.

Generally, status quo thinkers operate school systems and are responsible for staffing schools, for directing professional preparation, for leading the professional associations, and for dominating the education bureaucracies. Unwillingly to consider fundamental change, they allow the status quo to define what is possible and simultaneously to maintain their own positions of employment and power. These status quo reformers are content to examine curricular and pedagogic reforms; always critical of the problems, they seldom direct meaningful change or create new possibilities. Indeed they steer away from changes that may affect job security, accountability, compensation, or work conditions. The only substantive changes that status quo reformers endorse are those that occur outside of the schools, and therefore, outside of self.

Foundational reformers are those who may recognize the merit of some status quo suggestions, but believe them to be tangential to the larger tasks of confronting the culture of incompetence. This approach to reform rests on two principle precepts: (a) accountability and flexibility, grading the quality of the schools mission and goals as valued in the culture and (b) it is only by virtue of intellectually and culturally acceptable goals that the society tacitly agrees to foster and support the educational establishment. Then reform sets a guiding beacon; the school goals are to present constructing a culture of competence that expects success, rewards excellence, and does not tolerate failure. It anticipates that centralized accountability, disallows mediocrity as a norm, and encourages well-intentioned teachers to pursue effective teaching and learning. It becomes an indispensable foundation from which instructional advances may arise and promote systematic excellence. And as a correlate to accountability, flexibility is seen as empowering educators and administrators to effectively serve by rewarding effective change, and subsequently capitalizing on the intrinsic forces of accountability. Here is a paradigm shift; from a liaise faire tradition to one of *accountability* and *flexibility.* This shift requires a careful examination of the criteria underlying hiring, managing, and compensating educators; and, it anticipate the nature of how schools are staffed, how educational leadership is developed and technology is utilized. The transformation of complex systems must, of course, recall and maintain the organizational goals: In order to construct a culture of competence, schools are dedicated to ensuring that students master gate keeping skills of reading, writing, and mathematics; and gather a fundamental grasp of process thinking in science, history, civics, and, create values and behavior therefore from their cultural foundations. Hence, school districts must promote accountability and flexibility by decentralization, cultural consciousness and acceptance of the fact that schools are not isolated entities unto themselves but a part of a greater system.

CULTURAL AWARENESS AS PART OF THE EDUCATIONAL SYSTEM

Cultural awareness and ownership are crucial to the role of leadership (Greenleaf and Quiroz in *Closing the Achievement Gap: A Vision for Changing Beliefs and Practices,* 2003, p. 11). Children are socialized to be assertive and competitive, or they are socialized to value consideration for others, they learn to acquire knowledge for the sake of knowledge, or they learn to acquire knowledge that has a social use. The authors describe these cultures as being intangible and invisible. They suggest that schools be culturally sensitive when working with diverse students. They further suggest that diverse cultures values and beliefs may be in conflict with the schools culture.

A systems approach is often embedded in the use of situational leadership The *situational* leadership approach to leadership was developed by Hershey and Blanchard (1969) and is based on Reddin's (1967) 3-D management style theory. As the name of the approach implies, situational leadership focuses on leadership in situations .According to Northouse (2007) there are three major strengths to the situational approach. They are:

- It is recognized as a standard for training leaders;
- It is a practical approach that is easily understood and easily applied;
- Sets forth a clear set of prescriptions for how leaders should act if they want to enhance their leadership effectiveness (p. 96).

Social-ecological theory which is a part of systems theory, "explains "the complex environmental system where people live and operate. In essence, it is a systems approach that carefully defines the multilayered environment in which individual actions occur. Bronenbrenner (1977) depicts the environment through four unique subsystems, each one nested within the other. This approach allows for interactions between the individual and each subsystem and for interactions between subsets to be studied. Harney, (2007) states that "Social-ecological theory is a useful tool for the study of schools because of the complex hierarchy in which schools exist" (p. 2).

This approach can be helpful in professional development by providing a framework through which we address many of the relevant needs of the staff and students. A comment akin to "This is Our House" clearly enforces the idea that we are the responsible for what goes on here. Changing the wording to say "we don't do that here" sends a clear message that someone has broken the trust afforded all in this environment. Ownership is the first step in initiating desired cultural change.

SITUATIONAL LEADERSHIP

Situational leadership recognizes and stresses that there is not one best style of leadership; instead that leaders need to be flexible and adapt their style to the requirements of the situation (Northouse, 2007). Through the use of these lenses, pre-service leaders gain the confidence to move through the demands of leadership while exercising theoretical balance in using available resources to best equip members of the organization in outcome ownership and accountability. Fullan reports in *The Moral Imperative of School Leadership* 2003, how Michael Barber in England (2001) points to the danger of a loss of trust in the public system:

> The public is impatient to see substantial evidence of progress on the ground.…The danger is that, as the economies of developed countries grow, more and more people will see private education for their children as a rationale lifestyle option. They would become correspondingly less willing to pay

> taxes to fund public education, which, over time would become—in the devastating phrase of the sociologist Richard Titmuss a generation ago—a poor service for poor people (p. 5–25).

In a slow mythological shift from what is required to what is being accepted, we now find authentic fear in schools of leadership training because this possible shift in educational leadership will move us away from formal leadership training in graduate school programs The idea is that anyone that exhibits the necessary characteristics of leader will lead; there will be no formal curricular training in university programs because the on-the-job performance will suffice. The scary part of this possible paradigm shift is the placement of those that have absolutely no classroom or leadership experience. Those of us, who are practitioners, recognize the true difference between theoretical learning and active leadership practice. As uncertain as human behavior, is the day to day requirements of knowing your school, your staff, and the true pulse of the building.

CONSIDERATION FOR PRE-SERVICE LEADERS′ PROFESSIONAL DEVELOPMENT

Professional development is an essential component in the preparation of Pre-service educational leaders. “Professional Development in schools, according to Meador (2000) “refers to any ongoing training that a teacher receives to improve in areas of deficiency, to gain new knowledge or insight in a particular area, or to be refreshed in a particular area as needed. Effective teachers seek professional development opportunities that are applicable to them and will help improve the quality of education they will provide to their students” (p. 1).

While graduate schools of leadership focus on setting high expectations and standards for the academic and social development of students, they can be viewed as a practice of professional development. It is development in the sense that the major goal is to provide students with foundational skills necessary for practice in schools. Leadership programs provide students with the opportunity to experiment with their perspectives of school leadership in a safe and less intimidating environment. According to Connecticut’s Guidelines for Teacher and School Leader Evaluation and Professional Development (1999, p. 3), each state has varying requirements for professional development. Most states require a particular number of professional development hours over the course of a year or a period of several years. Among the Guidelines for Connecticut's professional development programs are that PD:

- is focused on building the capacity of teachers to improve student learning (individually, in small group, and as members of a school community);

- presents options based on teacher growth needs;
- directly supports teacher goals, which are linked to school goals; and
- reflects the accountability system built into the school and district system i.e. is job-embedded and reflects the expectations for accomplished practice.

Connecticut's Guidelines program design encompasses the following, PD:

- PD is differentiated by teachers' and school leaders' level of experience and professional growth needs;
- PD provides opportunities for reflection and practice, and occurs over time;
- Programs utilize multiple instructional practices to address the preferences and needs of adult learners;
- Teachers and school leaders jointly design the school's PD program; and
- Teachers and school leaders play an active role in self-identifying the PD they need to support them in meeting their evaluation goals and job responsibilities (p. 4).

PROFESSIONAL DEVELOPMENT CONCERNS

Although professional development is provided in most schools as defined by Conn. State Department, many teachers express concern about the type of professional development that they receive in their districts. These concerns are in the area of receiving training that is not relevant to their area of discipline or how to make instruction more culturally relevant to the needs of the school and the lack of follow up by the district as it relates to implementation.

This raises questions as to how do the above guidelines fit into what and how are professional days being designed. There is also a concern regarding the procedure for selecting professional days. Are the days planned around the latest buzz words, fads and trends of education? Lisa Gonzales and Devin Vodicka (2008), described these days as "Cattle Call," using a flavor of the month as content for presentation. Teachers often feel that they are a "miserable waste of their time and was not likely to translate into positive changes in teacher practice" (p. 2).

This leads to concerns of how can they become a more influential part of the team in helping to determine the content of these days and how can they be made more relevant? Gonzales and Devin Vodicka suggested that the use of alignment of "organizational priories provide collaborative, reflective opportunities for professional growth and the value to professional development and to the organization is vastly increased" (p. 2).

Outcome based education is based on the premises that it is a place where Pre-service educational leaders can begin to look at school settings in an ecological and systemic way as it relates to students success. It also allows for consideration of the many variables in the environment that impact the successful delivery of education. These variables are their cultures nuances, families from which our students come, community and the society at large. Using a systems approach as described in Table 6.1, illustrates many of the variables students bring into the school environment along with the school's expectation. Many of these questions can be assessed more effectively by looking systemically at the school as a whole. Systems and situational theory helps to determine what schools need in relation to professional development. Using system approach would call for an evaluation of the whole system that answers what are contributor to the strength and weakness of school success.

SUMMARY

With the signing of No Child Left Behind, which takes into account concerns for leveling the playing field in education academically by maximizing the individual talents of each student .It seems that a system prospective would be an appropriate place to start in addressing many of the needs of the whole child. No Child Left Behind does not take into account many of the variables diverse children bring into the school system**.** Franklin states: From leaving No child Left Behind to creating a Whole Child Education for each student, that "providing resources for high-quality professional development opportunities for teachers, school principals, guidance counselors, and other school professionals so they are better prepared to address the needs of the whole child is also a role that the federal government can play" (p. 2). Using a systems approach as described in Table 6.1 illustrates some of these variables students bring into the school environment as they strive to meet their schools' expectations.

Professional development for pre-service leaders should encompass a systems perspective. This could be an approach, to educating the whole child. It can be further used as a method for delivering more comprehensive services

Table 6.1. Students' Factors, Processes, and Outcomes.

Input	Throughput	Output
Students' Based Culture, Environment & Socio-economic Status	Educational Policies, Laws & Funding	Outcomes
Physical and Emotional Needs	School Culture	Outcomes
Beliefs & Values	Relevant Curriculum	Outcomes

by allowing schools to not see education as occurring in a vacuum but as a part of a larger system that is interrelated. As a result of the educational reforms presented in this chapter, the use of situational theory, systems theory, and complexity theory can be used as a means of addressing the diverse uncertainties that pre-service leaders find themselves grappling with as they try to provide successful application of education.

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Chapter Seven

Educational Leadership in a Global Context

Cathryn Magno

The mission statement of my university includes the following reference to global context: “to empower every … student with the knowledge, skills, and perspectives essential for active participation and impassioned, ethical leadership in our rapidly changing, *global* society” (http://www.southernct.edu/about/scsu-info/mission.html, emphasis added). However, there is no explicit reference to globalization or comparative/international education in the educational leadership curriculum that prepares school administrators (see Box 7.1). This chapter provides a backdrop and rationale for the inclusion global perspectives in the preparation of educational leaders in the twenty-first century. This is a critical component of any program that aims to fully develop an educational leader to effectively function in the increasingly multicultural learning contexts of contemporary schools. A global perspective, as understood in this chapter, is not particularly tied to intercultural competence; rather, it is a foundational disciplinary approach to understanding macro-level societal change and the relevance of global exigencies and a globally-oriented mindset tied, more generally, to the practice of leading schools. It contributes ideas for improving practice by learning from elsewhere and recognizes common education sector trends around the world. Specifically, this chapter includes three sections: 1) globalization as a central feature impacting education; 2) a synopsis of the field of comparative education and application to the leadership sector; 3) the theme of neoliberalism, accountability and the role of international education indicators. In any school, there are one or more teachers with international experience or global interests. In most such schools, this pro-global stance will remain relegated to one, or perhaps a few, classrooms unless the school leader deeply understands its significance and actively promotes its expansion. The chapter will therefore conclude with a summary and implications/suggestions for learning outcomes of leadership preparation programs embracing this approach.

Box 7.1.

It is a Tuesday night and I walk into my first session of my Leadership for Social Equity course and begin a discussion of globalization and its implications for education in the United States. The aspiring leaders who make up the class, with brows furrowed, exclaim, "We're falling behind other nations and need to catch up!" I ask: "Who is the 'we,' in what exactly are we 'falling behind,' how far 'behind' are 'we' falling and behind whom, and by what measures precisely are we being ranked?" And, most importantly for these practitioners: "What should we be doing about it?" Wide eyes and silence meet my questions, and I realize that school leaders need a much deeper and more nuanced understanding of global context, influence, and process if we expect them to effectively lead students toward graduation into a "global society," which, as it happens, is often a part of their respective school mission statements.

GLOBALIZATION AS A CENTRAL FEATURE IMPACTING EDUCATION

Globalization is, by most dictionary definitions, "the development of an increasingly integrated global economy marked especially by free trade, free flow of capital and the tapping of cheaper foreign labor markets" (http://www.merriam-webster.com/dictionary/globalization). But such an economics-oriented (and Western) definition does not capture the social, cultural, political and technical/communicative features of globalization. Globalization is therefore variously considered by scholars to be a process (Dimmock & Walker, 2000; Marginson & Mollis, 2001), a set of phenomena (Friedman, 2005), or an opportunity for hybridized identities resulting from increased human mobility and new political philosophical paradigms such as cosmopolitanism (Bhabha, 1994; Gunesch, 2004). In fact, hybridity has "almost become the cultural norm" (Rizvi & Lingard, 2000, p. 419). It is considered to be the result of increased—indeed, unprecedented—global connectivity and activity, through which ideas, goods and services spread across political, cultural and geographical boundaries through individuals and institutions. Globalization has shifted the way we think, the way we act and with whom we interact. Globalization is at once a positive and a negative force; in the global North, it tends to be seen more positively as increased access to the world (and its goods) at large, while in the global South, it can be seen as a new form of imperialism or as “strong Americanization which threatens to overwhelm all forms of identity” (Marginson & Mollis, 2001, p. 600–601). Theorists are divided as to whether globalization increases homogenization or heterogenization; more importantly, we need to be cognizant of how *both* of these tendencies impact our daily lives and the ways in which they affect the provision of education and educative communities.

Globalization is influencing education in infinite ways, as teachers consult with ever-expanding materials, students make connections with classrooms across the world with the touch of a button, and children learn how to sift through information for signs of quality and how to become critical consumers. At the same time, although we are currently living through it, we may not have conceptual frameworks with which to apprehend and make sense of globalization and its implications, including how we, as humans and educators, might self-transform through our global understanding.

GENERATING GLOBAL CONSCIOUSNESS

Globalization patterns require learning that contributes to global consciousness, “a mindful way of *being* in the world” or, more specifically, “a disposition to place [one’s] immediate experience in the broader matrix of developments that shape life worldwide, to construct [one’s identity] as [a member] of world societies, and…to orient [one’s] actions accordingly” (Mansilla & Gardner, 2007, p. 48–56).

Box 7.2.

When exposing aspiring leaders to globalization and its effects in class, I receive comments such as, “I’m so overwhelmed by all the changes!” and “I feel very unprepared to deal with the speed of change.” More distressing: “Our school is so behind the times!”

Much literature on teaching of globalization focuses on K-12 students, and less so on the adult learners enrolled in educational leadership programs. However, the latter group, it is argued here, would benefit from unwrapping their own assumptions about global relations and developing deeper understandings of the interactions between transnationalization and social, cultural and political (de)stabilization at home and abroad.

One of the first steps toward helping learners cope with the breadth of such an interdisciplinary topic is to systematize it (see Box 7.2). Masilla and Gardner (2007) provide a helpful framework of four core areas: economic integration, environmental stewardship, cultural encounters, and governance and citizenship. In addressing these core areas, it is critical to not simply understand *what* is taking place internationally, but also the *why* and *how*, in order to develop global consciousness. In doing so, the classroom widens and lines between school and life become blurred as aspiring leaders become competent in "global sensitivity" toward objects and others across the world, in "global understanding" through flexible thinking about worldwide developments, and in the "global self," or the reflective capacity to understanding ourselves as historical and global actors (Masilla & Gardner, 2007, p. 58–59).

Many comparative scholars argue that in the globalization era, more than ever before, we need to take account of ourselves as political actors and sort out the various trans/inter/intra/supra-national political dynamics and forces at work (Stromquist, 2002; Apple, 2010). In asserting that "education has become the key venue to support globalization" (p. xiv), Stromquist (2002) argues that education is deeply implicated in the sociopolitical processes supporting global networks and that we must understand the "nature and order" of educational institutions to understand "who benefits and who does not," to understand the power and limitations of agency among individuals and social groups, and ultimately, to "think relationally" (Apple, 2010), as we are all members of the same worldwide web of interaction. Regarding leadership, Litz (2011, p. 58) has recently called for new research in recognition of a deconstructed globalization process:

> …it will be extremely important for educational researchers to … focus additional studies on important developing global trends in principal preparation, leadership development, as well as the actual practice of the principalship. This will enable educationalists to gain a better understanding of the practicality of competing models and the transferability and applicability of 'Western' educational leadership theories to non-'Western' and developing country contexts as well as a deeper appreciation of emerging and alternative models and the increasing complexities of global educational leadership patterns (p. 58).

School leaders, if they do not embrace globalization and its consequences for students, will be constraining their schools and hindering the progress of their communities. At the same time, school leaders bear an ethical responsibility to be critical educators and if they do not grasp the nuances and complexities of global interdependence, they do a disservice to their students, teachers and schools by producing graduates who may not act as respectful citizens in a just global civic culture.

The study of comparative and international education can provide an avenue through which educational leaders can systematically engage in global education. Contemporary forms of globalization may be unique, but the sub-field of comparative education has long been attentive to cross-border learning and engagement. In the next section, a brief history of the field of comparative education will be presented, along with recent efforts to apply comparative analysis in the educational leadership sector.

COMPARATIVE EDUCATION

The sub-field of comparative education emphasizes how educators can use comparisons as windows outward and mirrors inward, to learn from and teach others. In essence, this builds on the notion of the school—and indeed the nation—as porous and in a constant dynamic state of influencing and being influenced. In his seminal work on comparative education, Noah (1984) delineated several appropriate uses of comparative education, including description of what others are doing or planning, both to see differences but also to validate our own challenges by seeing that others face them too. Comparative studies might correct misperceptions we hold of other places, and by investigating the education sphere we might learn a great deal about wider societal dynamics. Noah (1984) reminds us, for example, of Americans' urgent interest in the Soviet education system in the post-*Sputnik* era and of our close attention to the Japanese education system in the 1980s. Looking beyond our national horizons to learn from other regions and nations is not new, but attention to this comparative lens has been nearly nonexistent in educational leadership preparation since its inception in the United States nearly 100 years ago.

The earliest efforts in comparative education date back to Plato's work in ancient Greece and to Confucius in ancient China (Mundy et al., 2008). In the modern era, comparative education became of interest in the many countries eager to develop mass schooling in the nineteenth century, including the United States. In 1808, for example, former literature professor César-Auguste Basset argued that the newly created Université de France should send an official abroad to observe how other countries were addressing education and instruction (Brickman, 2010). Marc-Antoine Jullien, sometimes noted as the "father figure" of comparative education, wrote a seminal *Esquisse* [Sketch] in 1817 based on systematic study of the education systems in Italy, Germany and Switzerland in order to propose rational action for reform and call for the establishment of a Normal Institute of Education to effectively prepare teachers in Europe (Mundy et al., 2008). Jullien was interested in utilizing a positivist scientific method to analyze education in order to deduce from that analysis certain principles and rules which would then guide education reform (Brickman, 2010). This is not unlike our contemporary efforts to analyze international test results and visit high-performing countries (e.g., Finland, South Korea) to learn what teaching practices we can import into education reform at home in the interest of improving our own performance.

Throughout the 1800s, many educators and education theorists visited foreign schools and reported on their findings. Horace Mann, for example, travelled at his own expense to Europe, collecting "best practices," with particular attention to Prussia, for dissemination back in his native Massachusetts and elsewhere (Brickman, 2010). Indeed, the only other comparable official was Henry Barnard of Connecticut, who also travelled to Europe in the 1800s (Barnard, 1851, 1872) to study social conditions and "[meet] influential educators and school reformers in order to expand his own ideas for revising traditional approaches in the U.S." (Jenkins, 2013). At the same time, Russian, Japanese and Chinese educators searched outside of their borders, both to "modernize" and to resist colonial pressures (Mundy et al., 2008).

The early twentieth century saw major growth in the comparative education field, with several notable educators setting scientific theoretical and methodological tenets that hold true to today. Isaac Kandel (1933), for example, advocated comparative study that considered countries' respective social, political and cultural histories and traditions, stating,

> The chief value of a comparative approach to [educational] problems lies in an analysis of the causes which have produced them, in a comparison of the differences between the various systems and the reasons underlying them, and, finally, a study of the solutions attempted (p. xix).

Kandel viewed each national education system as a "laboratory" in which solutions to educational problems were tested and implemented, and he hoped that comparative study would promote international understandings and sympathies. Many comparative education theorists and practitioners followed Kandel, adding their own interpretations to the purpose and value of the comparative enterprise (see Bereday, 1964; Noah & Eckstein, 1969; and King, 1974, among others).

Because comparative education as a sub-field is fairly young, comparative specialists tend to be based in other disciplines such as history, philosophy, economics, sociology, and anthropology, and they consequently bring these disciplinary ontologies and epistemologies to the comparative project. Sociologist John Meyer and his colleagues, for example, have documented the worldwide spread of institutionalized mass schooling through large-scale, quantitative methods (Boli, Ramirez & Meyer, 1985). They constructed a "world culture theory" to explain convergence of educational values and mechanisms (Meyer, Boli, Thomas & Ramirez, 1997) across country contexts. Meanwhile, anthropologists have claimed that in-depth contextual understanding is essential and that ethnographic methods uncover local meanings and truths that undergird educational provision "elsewhere" (Anderson-Levitt, 2003); they have even developed new methodologies to analyze multi-level intersections of culture and education policy (Vavrus & Bartlett, 2009).

Economists have analyzed the micro- and macro-economic ways in which education systems function and the contributions of international donor monies to the development of education programs and schools in other countries, in contribution and opposition to "human capital theory" and other "rates of return" and efficiency arguments about how provision of schooling later contributes to national GDP (Klees, 2008; Levin, 1987; Belfield & Levin, 2002). Policy-oriented comparativists have examined the politics of educational borrowing and lending to try to understand why and how policies travel from country to country or region to region (Steiner-Khamsi, 2004, Steiner-Khamsi & Stolpe, 2006; Ochs & Phillips, 2004; Silova & Steiner-Khamsi, 2008; Magno, 2012). Historians continue to inform us as to how our own country's motivations have affected education abroad and how past education policies and practices affect today's schools; they help us to see historical continuities where we might not otherwise (Sobe, 2007; Quist, 2000, 2003; deJong-Lambert, 2007). Comparative theorists demonstrate temporal considerations and their consequences, such as the impact of colonial education (see Box 7.3) and current forms of neo-colonialism and neo-imperialism (Altbach & Kelly, 1984; Crossley & Tikly, 2004).

Box 7.3.

None of the more than 80 aspiring leaders I have taught in an educational leadership doctoral program knew that the USA had colonized the Philippines and introduced a purposeful education project there. Colonial records document how:

The American colonials, collaborating with the Filipino ruling class, conceived of education as a 'human resource development' plan for a dependent agricultural colony. Ultimately, these early leaders created a politically dominated, highly centralized public educational system run by a Western-oriented, relatively powerless professional group to serve this end (Foley, 1984, p. 33).

After learning about this colonial project, students were able to draw connections to power and participation in decision-making, and related the Filipino experience to local practices such as tracking and interpersonal factors such as racism and bias. They were also intrigued by colonial legacies and the impact of history on the contemporary world.

Comparativists might take a functionalist approach to international education or a more critical approach through which they question the motivations and mechanisms of international education, particularly in the context of national development (Samoff, 2007). Finally, many comparativists are interested in the intersections among education and various other topics such as gender (Stromquist, 2006; Magno & Kirk, 2008) or social justice (Spreen & Vally, 2006) around the world.

It is clear that comparativists have committed to global consciousness, as they situate educational structures and processes in narratives and explanations that help us make sense of global developments and reflexively participate in growing global connectivity. Nurturing global consciousness mitigates the use of decontextualized statistical measures of student achievement to make strategic decisions without concomitant inclusion of sociopolitical analysis (Kandel, 1933). For educational leaders, as the school actors with the most positional power and often great school and community respect, developing global consciousness is requisite if they intend to confer upon young people not only relevant knowledge and skills for a globalized world, but the global consciousness to act responsibly with that content.

The field of comparative education was augmented, largely in the 1960s, by the "development turn" in international education, which some even call a "revolution" (Steiner-Khamsi, 2008). This important branch of the field focuses on applied development work, along with research on such work, carried out by multilateral agencies such as the United Nations (e.g., UNICEF, UNESCO, WHO), international lending institutions (e.g., World Bank, Asian Development Bank), bilateral agencies such as the United States Agency for International Development (USAID), and local and international non-governmental organizations (NGOs and INGOs such as Save the Children, International Rescue Committee, etc.). These agencies formulate, fund, and implement international development projects[1] that focus on, for example, increasing primary school enrollment, protecting children's rights, or installing information technology in schools—usually in "developing" countries.[2] If educational leaders, perhaps especially those from more privileged nations, better understand the constellation of international agencies, organizations and development projects, they might be more likely to effectively participate in global efforts through international partnerships, exchanges, etc., which would in turn benefit their own students, teachers, and schools, as well as those abroad.

Comparative education today can help us not only to classify what is being done elsewhere, but can help us understand why and how educational intervention is implemented. This may result in us understanding ourselves and our history better and in informing our decision-making at national, state and local levels.

Comparative Education Applied in the Leadership Sector

School leaders are, ultimately, responsible for the extent to which students exit schools prepared to participate in global society as active and responsible citizens and workers. To that end, leaders should have a solid grounding in internal and external innovations, threats, and movements in order to shape vision, decision-making and collaborative efforts.

The preparation of school leaders is one of the most critical contributors to the promotion of learning in schools, and published research now shows empirically that leadership matters to school success (Hallinger & Heck, 1996; Hargreaves & Fink, 2004; Tyack & Cuban, 1997; Senge, 1990; Fullan 2004, 2007, 2008; Elmore, 2004; Sergiovanni, 1996; Johnson & Uline, 2005). Leading scholars and a multitude of practitioners acknowledge that leadership effectiveness impacts student achievement, school culture, and school improvement (Fullan, 2004; Elmore, 2000; Leithwood, Seashore Louis, Anderson & Wahlstrom, 2004; Murphy & Datnow, 2003; Murphy, 2008; Steiner-Khamsi & Harris-Van Keuren, 2009; Darling-Hammond, 2010), albeit indirectly, "mediated through teachers and others" (Cotton, 2003, p. 58). Importantly, given the nascent attention to educational leadership outside of the West, school leaders are increasingly held responsible for student and school achievement but are often not equipped with the tools to do so. The more aware school leaders in the United States and other Western countries are of the state of leadership preparation elsewhere, the more likely they will be to perhaps build global bridges and partnerships, see colleagues in other nations as allies in the struggle to improve schooling rather than as rivals against whom we must only compete, and be open to learning from them in an effort to increase awareness of others' beliefs, values and practices and instill this intellectual and cross-cultural respect and curiosity in their students.

According to Leithwood and Day (2007), "this is the 'golden age' of leadership" and "virtually all developed countries are in the midst of unprecedented…efforts to improve the quality of existing [leadership] programs and to launch fresh initiatives" (p. 1). Since the turn of the twenty-first century, educational leadership programs and policies have emerged in many countries where they had never existed before, opening a preparatory space for leadership education and—within that space—opportunity for increased global consciousness. Understudied and undertheorized in a global perspective (Brundrett & Crawford, 2008), educational leadership has unique potential to make positive systemic change in all nations, especially where the public sector is compromised due to conflict, reduced resources or other factors contributing to social, political or economic instability (Magno, 2012). Until the early 2000s, few countries had pursued a method of school leader preparation distinct from teacher preparation (Brundrett & Dering, 2006). However, recent global trends such as site-based management (SBM)—despite its subsequent mediocre to poor effects—as well as decentralization, the global circulation of ideas, and increasing complexity in schooling have awakened interest in the contribution specialized leader preparation could make to effective schools (Brundrett & Dering, 2006) and the potential for educational leaders to act as levers or catalysts of change (Leithwood & Riehl, 2003; Bush, 1998; Fusarelli & Smith, 1999). Countries as varied as the United Kingdom, the Czech Republic, New Zealand and South Africa have formally adopted leadership preparation models since the mid-1990s, and many developing countries are in the midst of considering the adoption of formal leadership training and appointment processes (Brundrett & Dering, 2006; Ngcobo & Tikly, 2010; Oplatka, 2004).

While there is recent, growing interest in comparative analysis of educational leadership, the literature is scant. The several single-country studies in edited volumes and journal special issues highlight the development of leadership preparation or examination of leadership practices in those countries. However, these compilations lack cross-country comparative analysis and do not necessary help us understand dynamics of political, social, and economic influences on such development. Most such studies, further, focus only on Western and industrialized countries (Brundrett & Crawford, 2008; Huber, 2010; Riley & Seashore Louis, 2000).[3] Nevertheless, these studies reveal complex and interesting histories of leadership preparation and reveal both similarities in leadership preparation processes (e.g., movement toward pre-service leader preparation rather than in-service preparation) and variation in conceptual understandings (e.g., differences between "management" and "leadership,") (Brundrett & Crawford, 2008; Huber, 2010), among many other aspects. Larger scale, cross-national studies have revealed insights as to, for example, the relationships between administrators' managerial behavior and student outcomes in 30+ countries (Wiseman, 2003), but such studies tend to lack attention to political and social context, leaving readers with questions such as who is influencing whom and whose ideas circulate and why, and therefore: how are power and knowledge disseminated, and to what extent does this unidirectional flow of "expertise" might constitute its own form of structural/institutional violence on a global level. In any case, the growing literature reveals that educational leadership preparation is "both a global phenomenon and a complex web of interconnected, but culturally specific, patterns of provision" (Brundrett & Crawford, 2008, p. 6).

NEOLIBERALISM, ACCOUNTABILITY, AND THE ROLE OF INTERNATIONAL EDUCATION INDICATORS

Neoliberalism[4] has, in the present globalization era, worked as the dominant global economic model,[5] and has influenced decision-making in the public sector including the education sphere by essentially applying market principles to the provision of social services. The clear neoliberal global trend toward accountability as a "public good" in education, prioritized across countries and continents experiencing very diverse sociopolitical environments, takes the form of assessment reduction to standardized tests, increased competition, efficiency, institutionalization of standards, and increased privatization.

Across the variety of forms of accountability, school leaders remain central to its implementation. Recent research demonstrates that school leaders both in the United States and abroad are extremely overburdened by accountability mandates, student achievement testing procedures, and community and parental participation and pressures (Magno, 2012). In the United States, where accountability has been pushed strongly since the 1980s and especially in the past ten years since the No Child Left Behind Act, accountability measures have led in many cases across the United States to narrowed curricula and have pushed against ethical leadership, with ever-increasing pressure to perform on measures such as standardized tests or face relocation or dismissal. The impact of accountability policies has arguably been, despite possible intentions to the contrary, the most detrimental to the education of the poorest students. Bureaucracy in U.S. school administration has grown exponentially, and in many other countries, national governments (both as sequelae from previous colonial or centralized regimes and as a result of donor demands) demand copious forms and paperwork from school leaders, thus taking their attention away from the actual instructional processes occurring in the school. School leaders are experiencing this phenomenon but often feel powerless to change it (Magno, 2012). Their agency may be activated, however, if they understand globalization and comparisons in a systematic way, so they could form educated opinions about these new processes, to advocate either in support or opposition to them, and to understand the ways in which their decision-making is occurring (consciously or not) under the influence of *global* factors. They should be aware of the actors and agencies promoting the new accountability mechanisms as well as their neoliberal underpinnings, in order to make sense of their own role in them, the weighty interactions between power and knowledge, and the inescapable implications for their schools and students.

Perhaps the most widely cited accountability measures are international league tables, generated through international testing systems such as the Program for International Student Assessment (PISA), the Trends in International Mathematics and Science Study (TIMSS) and the Progress in International Reading Literacy Study (PIRLS). Such assessments are indeed analogous to national and local performance testing within the United States that benchmarks schools and students and relegates them into successes, failures, or "in need of improvement." These large-scale tests—both national and international—are "the most heavily used instruments in today's accountability-driven toolbox" (Leithwood, 2004, p. 374), but, as described in Box 7.1, most educators understand them only in media-driven sound bites.

International indicators are statistical comparisons, produced originally in the early 1930s at the International Bureau of Education and, after World War II, through UNESCO and, more recently, by the International Association for the Evaluation of Educational Achievement (IEA) and the Organization for Economic Cooperation and Development (OECD), were once "a marginal activity among a small number of comparative educators" but now "garner enormous attention in the mass media, and provoke and legitimate major educational reform efforts" (Benavot, 2012, p. 69). Early comparisons focused on enrolment and dropout rates, numbers of teachers, education expenditures, etc., and government agencies were the major purveyors of such information. Especially since the 1990s, interest in international assessments has surged, and as a result, governments and international agencies spend enormous sums on testing regimes. Some assessments focus on subject-matter curriculum (i.e., TIMSS, PIRLS) and others focus on real-life application of subject matter (i.e., PISA).

Results of the international tests are often used to support policy writ large—against a global backdrop. They can certainly inform us as to how students are learning and alert us to children who may be experiencing disadvantage, but we must use such data carefully. They are highly susceptible to manipulation and bias both in terms of design and data analysis and interpretation (Mundy & Farrell, 2008). Such education statistics are cited in political rhetoric, often to lend "an appearance of accuracy and science to otherwise complex and contested policy issues" (Mundy & Farrell, 2008, p. 189). In fact, researchers have stated that "PISA seems well on its way to being institutionalized as the main engine in the global accountability regime" (Meyer & Benavot, 2013). However, as Meyer and Benavot (2013) argue, it is eminently important to question the legitimacy of such testing processes across tremendous national—and indeed sub-national—differences in culture and structure. As well, because governments often self-report, some data analyses are of "questionable or suspicious reliability and accuracy" (Mundy & Farrell, 2008, p. 193). Ministry officials, especially in developing countries, where data collection and analysis is often compromised, sometimes provide "best guesses" and incomplete or fabricated data. Additional critiques include the fact that publicized rankings use raw results that do not take into account socio-economic or other diversity factors. Deeper analysis of the United States results, for example, show great variation by socioeconomic status and indicate that the top students perform equally to or well above the international "winners." Therefore, "who" is falling behind becomes more transparently class-based when *within*-country differences are taken into account. For example, the United States ranked 21st among OECD countries on the combined science literacy scale. However, although even the higher scorers in the United States fall below the top six jurisdictions in the list, White students scored markedly higher (523) on average than students of color.[6] This deeper examination of scores can lead to very different policy prescriptions than would a surface or "sound bite" reading of the national ranking.

As well, test results and subsequent ranking based on a single aspect of learning (i.e., mathematics scores) are used to represent and judge the schooling system as a whole, and even when reported, overall scores are rarely broken down into scores on specific skills (Benavot, 2012; Mundy & Farrell, 2008). Thus, results can be misleading and can lead to misconceptions and misunderstandings. The lack of longitudinal data (i.e., following the same students over time) impedes our ability to uncover important variation in learning outcomes (Benavot, 2012). Lastly, the scores tell us nothing about the instruction or curricular inputs to learning, and therefore may not be the best guide as to how to *improve instruction*.[7]

If the purpose of international testing is, from a social equity perspective, to encourage nations underserving their students to make improvements, there might be some merit to doing so. School systems could use the data to inform policy development, policy interventions and policy targets. Unfortunately, this is a flawed logic, because of the supreme lack of clarity as to how higher rankings are achieved (at the instructional and administrative level) and therefore little ability for low-ranking countries to learn from them. As well, feedback mechanisms are not well established, blocking schools from learning from their own results. Even if the underlying mechanisms were well-understood, their cross-cultural applicability is suspect (Meyer & Benavot, 2013). At their best, international league tables can provide "information about possible approaches to education, as a stimulus to begin questioning" (Plank & Hodgkinson, 2004, p. 121). More likely, though, the international testing regime is part of a global push toward efficiency and competition without careful enough attention to what and how students are taught and whether skills demonstrated on standardized tests are sufficient in a world demanding creativity and innovation.

Educational leaders must become "critical consumers of international studies of student achievement" (Benavot, 2012, p. 75). They must move beyond rhetoric and not simply succumb to and repeat the popular invocation that "we're falling behind" as this does not necessarily inspire or instruct teachers or students as to how to improve, perform better or, moreover, learn.

They must question, as have Meyer and Benavot (2013), the presumption that national educational quality can be assessed through ostensibly politically neutral cross-national comparison data, especially when questionable analysis of such data is then used to inspire large-scale and far-reaching education reform.

Conclusion and Implications for Globally Conscious Educational Leaders

Policymakers in the United States have indeed turned to international comparisons to push education reform at home quite recently, as can be observed in media outlets ranging from newspapers to televised presidential debates to Twitter feeds (see Box 7.4). The co-opting of comparative education into sound bites contrasts starkly with the deeper comparative education approach which requires us to better understand education indicators in relation to *context*.

Attention to the global context of education has several implications for school leaders. Bringing comparative education into leadership preparation is critical in order to grow global consciousness in aspiring school leaders, and in turn, do the same for teachers and students in those leaders' schools.

Box 7.4.

"U.S. Students Still Lag Behind Foreign Peers, Schools Make Little Progress in Improving Achievement"
(Huffington post, 7/23/2012)

"U.S. Students Still Lag Globally in Math and Science, Tests Show"
(New York Times, 12/11/2012)

"Study Confirms U.S. Falling Behind in Education"
(National Public Radio, 12/7/2010)

Implications for teaching the content of comparative education are varied and vast. Infusing the "global" into educational leadership preparation programs might require creativity as it is neither a typical content area nor one in which most faculty members are versant. Nevertheless, such content might include several possible modules; each leadership preparation program would need to identify where in its program's scope and sequence the content belongs.

1. *Historical background* in which the role of and policy promoted by the United States or a particular region or the "West" more generally is examined (e.g., in the education—or mis-education—of Native Americans, Filipinos, etc.). This would be critically approached so that aspiring leaders understand the ideological and practical forces promoting the subjugation or ill-treatment—whether intentional or unintentional—of certain groups in the past. Such critique lends itself to increased openness to seeing possible legacy-effects of such treatment and possible current inequitable treatment.
2. *Analysis of the term "globalization"* from economic, political, cultural, sociological perspectives, so that the aspiring leader has a firm grounding in how use of the term "global" might play out in his or her school or be understood by parents and community members (i.e., for some it might mean translocal living experience such as with migrant families, for others it might mean international corporate activity such as with parents working as executives in multinational companies). Aspiring leaders might examine the values behind the inclusion of the term "global" or "international" in their school's mission statement or in that of the university offering their leadership preparation program.
3. *Deep examination of one's awareness of "self" and "other"* through readings and activities. Interpersonal relationships are at the heart of effective leadership, and understanding one's own power and privilege both within one's own community and in relation to other regions, societies and countries can increase one's willingness to engage with the "other" both personally and professionally. Similar content is often present in leadership development classes; here it is recommended that global dimensions be included. One particularly helpful assignment might be for students to write a personal self-history in which they locate themselves politically, culturally, and in relation to power and privilege based on, for example, their own analysis of their (multiple) identities and how others might identify them.
4. *Detailed scrutiny of international test scores* prepares leaders to effectively situate and contextualize their own school's rankings in local, state, national and international comparisons. This might be covered during discussion of high-stakes test scores and the role of a school leader in accountability schemes and the current push for better test performance in general and in particular vis-à-vis international league tables (e.g., PISA, TIMSS, etc.).

Some key learner outcomes of such teaching approaches are included in the following:

- *Heightened understanding of social justice and equity* by building deeper reflection of "self" and "other," recognizing massive economic and social inequalities around the world and righteous indignation and solidarity with the world's poorest—including in the USA, and increasing students' exposure to and reflection on the role of the United States in the world both historically and currently.
- *Increased support for wide-ranging teaching materials and access to the global landscape* such as professional development for teachers wishing to improve their international facility in terms of language, culture, travel/study/experience abroad, etc. and promotion of international exchanges and experiences for teachers, students and staff.
- *Sharpened global consciousness* including keen "global sensitivity," "global understanding," and a reflective "global self."
- *More refined perspective on the tensions between nationalism and globalization* (or the local and the global) and the balance that must be struck when educating diverse, often immigrant, students in historically and spatially located cultural contexts.
- *Better ability to make meaning—and be critically consuming—of international league tables* and the location of US student performance vis-à-vis students from other countries, which serves to enable school leaders to explain facts and media interpretation to parents and communities more effectively.
- *Increased facility with notions of competition and cooperation* among nations and among educators and learners.
- *Augmented knowledge about what leadership approaches and processes are practiced elsewhere* and more sophisticated conceptual basis for one's own practice.

These are but a few potential outcomes of including a global focus for aspiring educational leaders. Scholars and practitioners are urged to consider additional recommendations for their own local educational settings. With the rise of globalization and global education in general, leadership preparation must address this aspect in order to best serve twenty-first-century students.

NOTES

1. The distinction should be made clear between banking institutions and other international development organizations, in that the former provide aid with the expectation of repayment. Long-decried structural adjustment policies have been put into place in many developing countries that control how and when national governments must reorganize their national economies to meet donor demands.

2. It is important to note the problematic bifurcation of the world's nations into categories such as "developed" and "developing." These labels can be used paternalistically and are often misleading given complex national economies. Nevertheless, the terms are used here to denote the way in which nations are involved and implicated in complicated and often dependent

relationships with each other through their "lending" and/or "borrowing" status and their varying levels of performance on world-wide human development indicators.

3. This is understandable, to a certain extent, as these are the countries in which leadership preparation had been formalized prior to five-ten years ago.

4. Neoliberalism, in contrast with liberalism, is generally defined as "a modern politico-economic theory favouring [sic] free trade, privatization, minimal government intervention…etc.," (http://www.collinsdictionary.com/dictionary/english/neoliberalism). Neoliberalism stands in opposition to social service (including education) distribution by government, favors freedom over equality, and supports marketization of the public schooling enterprise.

5. It is not to be assumed that neoliberalism is the *only* ideology at work around the world, nor is it presumed to be economic destiny; it is simply presented here as the most influential—particularly in the leadership sector where accountability ultimately rests.

6. Differences are not only seen by race/ethnicity, but also by state, with Massachusetts, Minnesota and Vermont, for example, taking the lead over other U.S. states (Heyneman, 2013).

7. For more detailed critique of the PISA testing regime, see Bracey, 2004, 2009.

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Chapter Eight

On Becoming a Leader

Jess L. Gregory

Graduate programs in educational leadership, and professional development offerings in schools and districts, serve similar purposes. They seek to foster the professional growth of participants. To be effective, these programs provide opportunities for participants to learn new information, develop skills, and grow as educators. As these programs look to advance the educator, they interact with personal topics such as the many roles educators play, the individual's ego development, and the personal views of the nuances of leadership. This chapter explores these elements in addition to how an individual's motivation and feedback mechanisms can influence how educational leadership programs present material to enhance professional growth. Graduate programs, as a form of professional development, purposefully inform and support a leader's personal and professional growth. While there is no single path to becoming an effective educational leader, Margie Gillis' journey is illustrative of a leader's development.

Margie Gillis is the president and founder of *Literacy How* where she helps teachers implement research-based practices in their classrooms through professional development in literacy. Margie's journey as an educator began when she was just a little girl. In their basement schoolroom, Margie, 5 at the time, taught her younger sister Ammy to read. This experience fueled her interest in teaching and, in particular, made her think about reading. Margie followed this calling, setting up a volunteer tutoring program while she earned her undergraduate degree and became formally involved in reading research while she earned her master's degree.

Margie's work continued to grow as she continued gaining more life and educational experiences that led her to her passion: teacher training. The organization she founded, *Literacy How*, offers professional development in applying reading research to successful classroom practice. Leading trained mentors, Margie has influenced educators and students across the state of Connecticut and beyond.

Margie Gillis is an educational leader making positive changes for both students and educators. Her example illustrates how leaders develop and how leader preparation programs can facilitate that growth. The chapter is framed by Diffley's (2006) model for authentic change and explore the challenges faced by leader candidates as they balance the multiple professional roles of educator and prospective leader, and the maturation of their views on what it means to become a leader. This chapter has two sections: balancing professional roles, and maturing of expectations that inform how leadership behaviors develop.

Diffley (2006) noted that there is "a loose connection between knowing what to do and the ability to act on that knowledge" (p. 2). This is particularly true of pursuits that involve harnessing natural talents and effecting change in the behaviors of others. The American psychologist William James (1890) asserted that when it comes to volition, anticipating the impact of movement is a precondition to voluntary action. Moving from James' strictly physical action like pouring a cup of tea to actions that have delayed consequence such as reading articles to stay current in one's field, another element is introduced, the time gap between the action and the anticipated impact. Wigfield and Eccles (2000) suggest that an individual's judgment of his own competence moderates the expectancy that actions will lead to successful outcomes. This expectancy is embedded in the progression of Diffley's (2004) Readiness Curve (see adaptation of Diffley's Readiness Curve in Figure 8.1).

Diffley's Readiness Curve distinguishes four levels of readiness: awareness-ready; knowledge-ready, performance- ready; impact-ready. At the lowest level of readiness, awareness ready, the educator has a basic understanding of an issue, the educator can appreciate the rationale behind an initiative and the fundamental terms associated with the initiative. The educator moves to knowledge ready when they go beyond the fundamental ideas, and have an in-depth knowledge of the anticipated changes, or initiative. At this stage the educator can contribute meaningfully to a conceptual discussion or exploration but also would require coaching or guidance to successfully implement the initiative.

As the educator becomes performance ready, he or she no longer requires coaching or guidance as he or she implements the initiative in a variety of settings. The performance ready educator is skillful. At the upper levels of this stage, the educator can provide guidance to others who are at the knowledge ready stage. The highest level illustrated in the readiness curve is that of the educator that is impact ready. This educator displays leadership to extend the initiative to address complex instructional issues and acts as a catalyst for innovation. Margie Gillis said, "I get more excited about reading a profes-

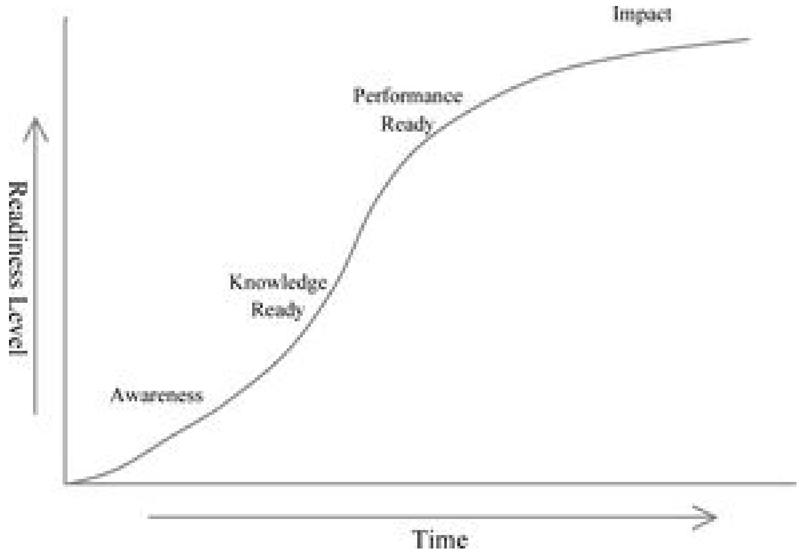

Figure 8.1. Diffley's Readiness Curve.

sional journal than any other magazine. I wonder what the findings will look like when I take it into the classroom" (http://www.literacyhow.com/ourpresident.html).

Educators are faced with many initiatives directed at improving student achievement, and some feel overwhelmed. An urban educator in her third year said, "As a teacher, I feel like our school district is continually introducing new initiatives without following through on those already in place." This speedy adoption and abandonment of initiatives does not permit educators to move beyond the earliest stages of readiness. There is an air of desperation that surrounds districts that move quickly to adopt the newest fad, and then the next one. The classroom faculty become trained to ignore implementation, or implement change at a surface-only level. "Teachers do not buy into the initiatives because they have been sent the message that the initiative will soon be forgotten and/or they will not be held accountable for that initiative" (third year educator). "It is disheartening to work hard toward something and feel like your hard work either is not paying off or goes unrecognized" (second year teacher).

Readiness depends on the educator's experiences both in terms of being knowledgeable about implementation, but also in terms of the climate in which the educator works. Impact ready leaders influence the experiences of the educators with which they work. Margie Gillis describes two mentors as being influential in her growth as an educator, her first when she was earning her master's degree and her second, after she completed her doctorate, as a reading fellow at Haskins Laboratories. Margie was chosen to lead her team at Haskins after her mentor. These mentors helped Margie grow as an educator, providing the experiences that permitted awareness ready to become knowledge ready, and then performance ready. Starting Literacy How in 2009, Margie built on the work she began with her mentor in 2000, "empowering clients with the knowledge and the ability to teach using the most effective and engaging classroom practices" (http://www.literacyhow.com/aboutus.html). Creating this organization, Margie shifted from performance ready to impact ready. She leads a team of professionals offering professional development to educators to improve the learning and teaching of reading.

Diffley cautions that "while awareness-ready, knowledge-ready, and performance-ready levels can be achieved through well designed professional development, the Impact-Ready level is achieved through progressive and focused professional experiences over a long period of time, e.g., a career" (Diffley, 2006, p. 8). Margie Gillis became performance-ready through her education and her work that ranged from consulting with a private school for dyslexic children to researching first grade reading. Her work as a teacher and as a researcher prepared her to empower others. Margie developed into an impact-ready educator when she shifted her focus to providing professional development to others, advancing the profession and working to address the complex issue of literacy. As educators pursue higher degrees with a goal of becoming more impact ready, programs strive to provide professional experiences and prepare educational leaders to be impact ready in the positions they have now and the future positions they hope to have.

BALANCING MULTIPLE PROFESSIONAL ROLES

Not unlike the delicate balance Reitz, Simmons, Runyan, Hodgson, and Carter-Henry (2013) describe between the multiple roles healthcare educators perform, educators in primary and secondary schools (even higher education) balance the professional roles of teacher, evaluator, gatekeeper, helping hand, and advisor even before they begin their coursework to become an administrator. For Margie, she balanced her emerging role as a leader with her work as a reading fellow, and competing demands in her personal life. Reitz et al. recommend explicit training about role balance for professionals, and how to maintain that balance, to improve competencies and professional relationships. Reitz et al. based their work on the faculty-trainee model in healthcare, but their conclusions are relevant beyond medicine.

Before an educator decides to pursue a leadership role they already juggle many tasks associated with their position. Bruno, Ashby and Manzo (2012) analyzed the school day of over 800 Chicago public school teachers and found that teachers roles have expanded as the expectation to personally connect with students have grown. They reported a high school teacher saying:

> One of the most stressful things about my job is that I'm more than a teacher. Students come up to tell me about serious things in their lives. About a friend whose boyfriend beat her up. About bullying. About sexual abuse. About being stalked. About being homeless—we've fifty homeless kids in our school. As their teacher, you're the only adult outside the immediate family that the child deals with. You are the normal for them. You are their teacher, counselor, and therapist; you are so much more than a teacher (p. 13).

The multiple roles a teacher fills as a part of the regular day extend beyond the school building. The teaching profession influences choices outside of the official job.

The teaching profession mandates seemingly trivial decisions such as when one can take a vacation. Some educators confessed that they drive a long distance to buy underwear so that their students do not see them. Teaching is infused into educators' identity; it is how the educator describes oneself and how he or she is described by others. It is because the profession is so closely connected to each educator's identity that shifting roles is so difficult. The profession is intricately connected to the educator's self-concept. When an educator decides to seek administrative credentials and go back to school two more roles are added to the awesome list of roles; that of student and that of aspiring leader.

The flexibility to move between one life role and another is connected with the educator's stage of ego development. By understanding ego development, programs can create experiences and provide opportunities to support the growth of the leader candidate. Facilitating the ego development of candidates will position them to move from awareness ready to performance ready and beyond. Loevinger (1976) developed a theory of ego development that incorporated an individual's effort to comprehend and organize one's life experiences. Loevinger included interpersonal and intrapersonal interactions as well as the individual's frame of reference in defining life experiences. Because each life experience or challenge can alter how one views themselves and the world, the ego is dynamic. Leader preparation programs are therefore charged with positioning candidates to define their experiences in a way to develop their leadership capacities. Connecting to Diffley's readiness model, these experiences and challenges serve as the foundation for moving from one level of readiness to another even as they shape the individual's ego. Loevinger referred to ego as the "master trait."

The Role of Ego Development Balancing Roles

As a “master trait” the ego supersedes other developmental sequences like moral development or cognitive development. Loevinger (1976, 1997) describes the ego as being comprised of four interwoven, simultaneously developing facets or domains: character development, cognitive style, interpersonal style and conscious preoccupations. McAdams (2006) classified Loevinger’s ego development model into three components: impulse control, interpersonal mode and conscious preoccupations and Broughton and Zahaykevich (1988) disaggregate ego into five issues: individuality, self-awareness, complexity, wholeness, and autonomy. Manners and Durkin (2001) challenged the notion that ego was a “master trait,” their meta-analysis found that Loevinger’s four domains and ego were part of a single process, and that ego and moral development were related, with neither being subsumed under the other. So while the different facets of ego will make it easier to understand an individual’s ego development, they should be seen as connected rather than distinct.

The four domains of ego are parallel continuums of the ongoing redefinition and reorganization of individuals’ self-concept based on the interpersonal, intrapersonal (social), and physical environmental interactions (Figure 8.2). Respecting that these four domains are not independent factors forming a single construct, they each contribute to a greater understanding of Loevinger’s model of ego development. Blasi (1998) cautions that character development is not the same as Kohlberg’s moral reasoning. Snarey, Kohl-

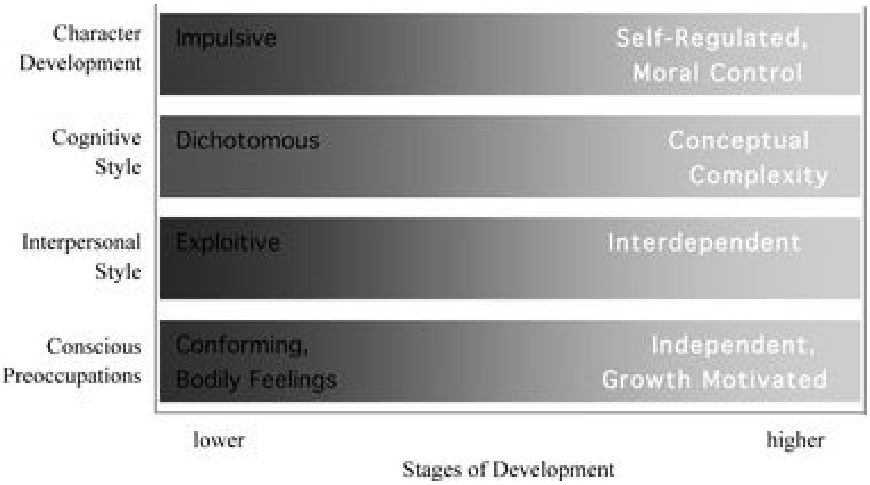

Figure 8.2. The Four Domains of Loevinger’s Model of Ego Development.

berg and Noam (1983) found moral development a necessary but not sufficient subdomain for ego development. Because Loevinger defined ego as a master trait, ego development is the overarching concept, subsuming moral development within the character development domain, without defining moral development as a separate construct.

The aspect of ego development described by character development incorporates moral development and impulse control. On the lower end of the continuum, an individual is ruled by their impulses, an egocentric view of the world concerned only with meeting one's own needs. It is a hedonistic existence. As one develops along the character development continuum, rules play a larger role. The individual sees rules as imposed by others, but also useful. Further along the continuum, the rules become self-imposed and based on moral guidance extending to the pinnacle of character development where internal moral concerns drive self-regulated behaviors.

Loevinger's cognitive style continuum is defined by an individual's tolerance for ambiguity. Individuals on the lower end of the spectrum have a dichotomous view where things or actions can be classified as good or bad, true or false, right or wrong. Moving towards higher stages, the ability to perceive and appreciate conceptual complexity increases. The top of this scale is characterized by not only recognition of ambiguity and both internal and external paradoxes, but also an appreciation of ambiguity and the ability to reconcile these paradoxes.

The third of the four domains is that of interpersonal style. At the lowest levels of development, the interpersonal style would be best described as self-centered and exploitive, without any concern for adhering to group norms. As the individual develops or matures, interpersonal style evolves from this exploitive version of self-centeredness to a self-centeredness that is concerned with what is "normal" and how well the individual is conforming to that view of "normal." This progress may lead to a growing sense of self-awareness and a heightened awareness of the feelings of others. Moving towards higher levels of development, interpersonal style begins to include basic empathy and a new value on relationships. At this highest level of development on the interpersonal style continuum, empathy is deep and the individual sees relationships as interdependent; as individuals linked in a symbiotic way.

The fourth domain is conscious preoccupation. This domain centers on the overarching focus of an individual's thoughts. Conscious preoccupation ranges from a focus that is wholly centered on personal senses to an appreciation of the nuances and ambiguities in the individual's relationship to the social and physical world. At the least developed end of the range, the focus is on self-gratification (sexual, aggressive) independent of psychological origin. Edging along the continuum, the hedonistic focus shifts to a focus that is more concerned with not being caught for self-gratifying behaviors. While this appears to be aligned with character development and interpersonal style in terms of developing regulation strategies, at this stage the focus is not on modifying behaviors to not behave in a way worthy of blame, it is solely to not be blamed for these actions. The blame avoidance does morph into a more rule-bound existence as this domain of the ego develops. This moralistic stage is connected to a need to be right, and to be recognized as right. Moving higher on the spectrum, the need to be right gives way and the individual develops a self-critical focus, progressing to a tolerance for errors in one's self and in others. The tolerance for ambiguity continues to grow as the ego develops and at the highest stages would be better described as an appreciation for the ambiguities in one's self as it relates to the social and physical environment.

Loevinger's model is sequential like Kohlberg's model of moral development or Erikson's psychosocial development. The field of developmental psychology began in the early twentieth century with Freud's stages of psychosocial development and Piaget's theory of cognitive development. The developmental psychologists were not working in isolation, Freud's youngest child, Anna was friends with Eric Ericson who asserted that the ego was more than a servant of the id. Loevinger was a research assistant for Erikson while she pursued her doctorate. Kohlberg extended the work of Piaget, and into the later part of the twentieth century, Kohlberg and Loevinger exchanged ideas and challenged each other's work through publications. In September 1983, both Kohlberg and Loevinger published articles in the same issue of *Developmental Review*. Table 8.1 illustrates how these relatively contemporary developmental theories compare.

The earliest versions of Loevinger's theory of ego development asserted that individuals progressed sequentially through stages. Like Kohlberg (1969), Loevinger (1993) stressed that the development stages sequentiality was vital to establishing validity. In their critical review of over twenty years of research that used Loevinger's theory, Manners Gilmore, and Durkin (2001) assert that some of the later studies demonstrated regression in some participant's ego states. They further concluded that the order of the stages did not change, affirming the sequentiality of the stages that Loevinger cited as essential.

The earlier version of the Sentence Completion test, that Loevinger developed to determine an individual's ego state, was developed specifically for women. It was later adapted to work for men as well. The nine stages that blend development in the four domains begin with the pre-social stage and end with the integrative. Some charts do not include the pre-social stage, as it is generally pre-verbal infants, and therefore cannot be measured with the sentence completion test, it is just inferred based on observed behaviors. The next stage is where most toddlers and a few adults remain. The focus is on

Table 8.1. A Comparison of Developmental Psychological Theories.

Ego Development Loevinger	**Moral Development Kohlberg**	**Cognitive Development Piaget**
Pre-social	Pre-conventional	Sensory-motor
Impulsive	Pre-conventional	Preoperational
Self-protective	Pre-conventional	Concrete Operational
Conformist	Conventional	Concrete/Formal Operational
Self Aware	Conventional	Concrete/Formal Operational
Conscientious	Conventional	Concrete/Formal Operational
Individualistic	Post-conventional	Full Formal Operational
Autonomous	Post-conventional	Full Formal Operational
Integrated	Post-conventional	Full Formal Operational

meeting bodily needs and those in this ego state are not generally good at meeting their own needs and therefore are very dependent and needy.

Most people are in the self-protective stage in early and middle childhood, but like the impulsive stage, some may remain in this stage through adulthood. Individuals in this stage assume others are also in this stage, seeking to get what they want without getting caught. People in this stage will lay blame outside themselves, seeking to fault circumstances or others rather than associate negative outcomes with their own behavior. The fourth stage, conformist, may emerge as early as 5 or 6 and is more common in later childhood and early adolescence. More people stay at this ego level than at the earlier levels (11.3%, Cook-Greuter, 1985; 2005). These individuals make generalizations based on stereotypes, and what is right and wrong is clear to people in this stage. As long as they are able to fit into their chosen group, these individuals tend to be content, even happy. The later ego states appear less happy as they begin to be more aware of interior motives, and awareness of larger issues.

The fifth stage, and most prevalent in U.S. adults (36.5%, Cook-Greuter, 1985; 2005) is the self-aware stage. There is a nascent awareness that the individual does not have to feel the same as the group and this creates internal tensions, as the individual has to reconcile their personal feelings with what he or she believes they should feel. The growing awareness of individuality and larger questions about spirituality, mortality and love challenge the once simple views of right and wrong. The conscientious stage, while less common than the self-aware stage, is still common among U.S. adults (29.7%, Cook-Greuter, 1985; 2005). In this stage, there is a greater tendency for self-reflection, evaluation and criticism. There is an emergence of personally developed standards and principles, with greater attention to conceptual complexity, and increased desire to have balanced relationships. When these personally developed standards and expectations are not met, the individual at this stage feels guilt.

Few people develop to the highest three stages of ego development (7, 11.3%; 8, 4.9%; 9, 2%; Cook-Greuter, 1985; 2005). In the seventh stage, or individualistic stage, relationships are valued higher than achievement. At this stage the individual respects their own autonomy, and the autonomy of others. At this stage the value on relating and on autonomy creates a stress, and while the individual is aware of these conflicting ideas, they are not able to reconcile them. The autonomous stage, the next stage of ego development, includes growth in both the value placed on autonomy and the conflicts once seen in personal autonomy and the autonomy of others is resolved in appreciating the interdependence of autonomous individuals respecting each other.

The highest stage Loevinger describes is the integrated stage. The integrated stage is characterized by broad empathy and the ability to go beyond reconciling inner conflicts, but includes accepting the conflict that cannot be resolved and appreciating them as a part of one's inner self. The integrated ego incorporates all the nuanced aspects of relationships between the individual, others and the environment to actualize one's full potential.

Both in-service and pre-service educators are ego bound, and academic and professional experiences can promote ego development to higher stages (Carter & Foster, 2007). By appreciating the challenges and opportunities inherent in an individual's ego states, leader preparation programs can not only provide knowledge needed to empower educators to become performance and ultimately impact ready, but also the experiences to promote ego development.

A novice educator would be at the border of knowledge ready and performance ready according to Diffley's readiness curve. This novice is insecure in their ability to perform; they are bound by the rules and see complex educational problems at a low conceptual level, distilling them to the dichotomous view that can be processed at this level. Batts (2011) described the low conceptual level teacher as operating at a concrete level, she asserted that these novice educators are not likely to consider the thoughts of others, not question authority and adhere carefully to their lesson plans. Miller (1981) suggested that these novice educators are note reflective and more likely to blame students for poor performance than reflect on the lesson design or delivery. These descriptions place the class of novice educators at the fourth stage of ego development, the conformist. While the educator may have been at another ego state in their personal life, or a different professional role, when they become a novice educator they are likely acting from a conformist ego state.

Novice educators can be catalyzed to develop more quickly with mentoring or professional development from someone at a higher developmental state (Chandler & Kram, 2005; Reiman & Gardner, 1995). One way to approach this bridges ego development and Diffley's readiness curve. As the novice develops, they begin to use multiple levels of assessment (Miller, 1981) and consider multiple strategies for teaching a single objective (Batts, 2011). Not every educator moves past the conformist stage. If the educator can develop past the conformist stage, then he or she has moved past the border of knowledge ready and is firmly in performance ready on Diffley's readiness curve. This educator welcomes collegial input and considers it in lesson planning (Batts, 2011), indicating that he or she has moved from the lowest level of conceptualization to a slightly higher ego state, the self-aware state. Because the self-aware state is the most common in U.S. adults, many of the educators in schools are likely at this level. They are performance ready and working with a moderate level of conceptual complexity.

About forty percent of US adults move beyond the self-aware state, they are able to address issues with high conceptual complexity. Batts (2011) describes these educators as capable of making decisions with little guidance and adjusting lessons based on student data. She continues that these educators are able to question existing policies and offer alternatives. Miller (1981) characterizes these educators as empathetic. On Diffley's readiness curve, these educators would be at the border of performance and impact ready.

While less than half of US adults reach these higher ego states, policies that impact teacher and administrator evaluation require it. The Connecticut State Board of Education adopted a new model for teacher and administrator evaluation in 2012, the SEED model. Teacher evaluation is based on the common core of teaching, on the rubric for evaluating teacher performance as proficient for domain 3a, planning for active learning, a teacher must use "multiple sources of assessment data to develop a clear, detailed understanding of students' level of knowledge and skill to guide planning" to be judged proficient (http://www.connecticutseed.org/wp-content/uploads/2013/05/CCT_ Instrument_and_Rubric_DRAFT.pdf). Additionally domain 5a requires a teacher to use "a variety of formative and summative assessments and strategies to provide multiple measures of cumulative knowledge, skills and concepts in the broader curricular standards." These indicators require educators to be at a high level of conceptual complexity to be evaluated as proficient. The same is true of administrators. The process that administrators are expected to use to evaluate teachers is "an evaluation system that uses multiple sources of information and evidence results in fair, accurate and comprehensive pictures of teachers' performance" (http://www.connecticutseed.org).

These policies require that educators develop to higher ego states and therefore it is important for school and district level professional development, and higher education coursework, to provide opportunities for educators to grow in this way. As performance ready educators choose to pursue educational leadership, they shift roles and therefore shift ego state. Santana (2009) cited career stage, age, promotions, readiness and experience as factors that affect ego stage change. She also describes three factors that impede ego development: conflicting priorities, time pressures, and lack of support. Educators that enter leadership development programs will certainly face at least two of these challenges.

As the educator pursues educational leadership, they must still maintain their current educational role. A performance-ready educator balances multiple personal and professional roles. This can also be seen in Margie's leadership development. When an educator assumes a new role of educational leader the finite resource of time is further divided. This reduction increases the pressure the educator feels to do the same quality work with less time, and if the work cannot be completed in less time at the same level of quality, forces a choice. The educator must choose between priorities of quality work in some of their roles, and giving up quality work in other roles. Some leader candidates may choose to give up a role to free the time required to be successful in other roles.

These pressures may not be evident to candidates as they begin pursuing leadership credentials. As performance-ready educators, they are used to success in the multiple roles they balance. It may have been a while since these educators assumed the role of student, and they may not be ready to see themselves in the role of leader. Leader preparation programs must determine how they will best support candidates as they learn how to navigate the growing maelstrom of personal and professional roles. Santana (2009) suggests that the classroom experience can serve as a catalyst for this development but also warns that development will likely happen after, not during, the leadership training. During the early coursework in a leader preparation program, leader candidates become awareness-ready and knowledge-ready. It is not until the candidates have the experience of an internship or other field experience that they can progress to the beginning of performance-ready.

The shift from performance ready in their current role to awareness and knowledge-ready in the leadership role contains within it an involuntary shift in the ego state of the educator. During the workday when the educator is in their performance-ready role, he or she is expected to be a reference, have the right answers, be knowledgeable. When they enter the leader preparation coursework, the expectation shifts and they are now expected to be open to new ideas; to operate at a self-aware or higher ego state, even as they are faced with challenges that tend to shift the ego to lower ego states. Batts (2010) asserts that a balance between support and challenge is required for ego development and Chandler and Kram (2005) warn that a mentor at a lower ego state will not facilitate ego development. Therefore leader candidates benefit from shifting between these multiple roles and being supported by someone at a higher ego state.

As the leader candidate develops along the readiness curve, and ideally achieves a higher ego state, they perceive the behaviors of their colleagues, both peers and supervisors, differently. The leader candidate accrues experiences in their current role and in coursework that moves them along the readiness curve. Moving along the curve, the leader candidate evaluates their actions through multiple lenses: the educator lens and the emerging leader lens. The more opportunities to engage in this reflective practice, the more likely the educator will progress developmentally.

WHY DON'T I SEE WHAT I AM LEARNING?

Often students lament in their early leadership coursework saying, "If we know all this, why aren't the leaders in my building doing it?" Aspiring leaders become aware of the vast leadership literature and apply it liberally to situations they see in their current role without the benefit of the information and experience garnered by the leader in the field. These leader candidates work with case studies and scenarios created by professors to allow them to discover the appropriate leadership issue and employ the content in the reading to neatly address the problem. As they progress the cases become more complicated, but the sense that there is a magical understanding that they are learning and that others have learned before them, but fail to apply, creates dissatisfaction with their current situation necessary for growth. Comments like this indicate that the leader candidate is at the awareness ready stage. This naïveté is reduced through increased opportunities to experience the demanding reality of leading in a school. Early in an educational leadership program, educators are exposed to the theoretical underpinnings of what school leadership requires. As novices, the leader candidates have not had the experiences to see the complexities in nuanced educational leadership issues. They approach them from a dichotomous point of view where there are right and wrong ways to handle any situation.

As the leader candidates are exposed to more case study work and more reflective practice they mature in their approach to analyzing scenarios; they develop cognitively. In later coursework, these same students who once lamented that their leaders were not behaving in ways that were aligned with the theoretical work they were reading reflect that they are seeing events at work differently. They have a greater appreciation for the gradations present in the issues faced by educational leaders. What once was black and white has become a full range of grey tones.

The leader candidate develops their expectations based not only on what they read or hear in coursework, but also what they have experienced in their professional past. Some leader candidates have had the experience of working for multiple supervisors who have varying styles of leadership. These candidates have a greater initial background to which they can connect coursework. Other candidates may have had only a single supervisor; these candidates will require more explicitly designed class-based experiences to expose them to different leadership styles. It is essential that the treatment of cases become more and more complex as the coursework progresses. In this way, case-based, or scenario-based work will supplement meager professional experience.

When a leader candidate enters a program there is no guarantee that they have ever had the experience of positive leadership styles. If a candidate has only had poor leaders as models they must go beyond their experiences and embrace the need for better leadership. Students from different backgrounds, sharing their experiences in a safe, classroom environment, can help each other learn from their different experiences. As candidates explore leadership styles and theories they naturally compare them to their own experiences. Providing the time and space for an exchange of reactions and ideas stemming from these explorations fosters the deeper, more complicated thinking required in the newer educator assessments. When there is dissonance in what the candidate sees as best practice and what they see in real life, the candidate is faced with the challenge of reconciling or rejecting the dissonance. Friedrich (1993) attributes the desire to justify or ignore the conflicting information to confirmation bias, where individuals use heuristics, or shortcuts to simplify complex situations, and are influenced by personal needs to affirm preferred conclusions.

This confirmation bias can taint an individual's feedback loop (Jones & Sugden, 2001). Connecting this back to the classroom, if the leader candidate is challenged by something in class that disagrees with what they believe to be true, the candidate is predisposed to reject the new information to protect their belief that they are right. If the candidate is at the self-aware ego state or earlier states (more than half the U.S. adult population), it is very important to be right. Developing the candidates ego state to move towards the conscientious state will permit the individual to be more tolerant of the ambiguities and complexities in educational problems and improves the accuracy of their feedback loop.

An accurate feedback loop is crucial in developing competence and control beliefs. A feedback loop is an essential element of self-regulation. Leise (n.d.) summarizes the role that a feedback loop plays in self-regulation, highlighting that self-regulation can be viewed either as a response to set standards, or as a change process connecting self-regulation to motivation. It seems more likely that it is not an either or situation but a dynamic relationship with the individual's ego influencing the inputs in the cycle.

There are several points at which the self-concept influences the feedback loop. If we start with how the candidate perceives an opportunity is the first point where the biases influence the loop. Some candidates will see more nuances and more interpersonal impacts in an opportunity; they may connect it to a prior experience. Other candidates might perceive the same opportunity as an externally imposed barrier, and still others will see a challenge affording a chance to grow personally. How the candidate perceives the input will determine their affective reaction.

This affective reaction, how the candidate feels about the opportunity drives behavioral choices, decision to perform. In some cases, the decision to not perform or to procrastinate is also a behavioral choice and is included here. I saw an example of this on my Facebook wall this morning, "My state boards for my cosmetology license is in 2 weeks if i passed great ill have the license under my belt but if i fail i can care less thats just how i feel about it." Forgiving capitalization and punctuation, as is the convention on Facebook, this student is protecting her ego by asserting that she is apathetic about passing an exam in two weeks' time. This stated apathy will excuse her from preparing for the exam, and by not working as hard to prepare for the exam, she does not have to address the cognitive dissonance if she works hard and still fails. Posting a Facebook status that says that you don't care about an upcoming exam actually indicates that she does care, but is uncertain she will perform well. This affective reaction to an upcoming goal-related situation influences her behaviors based on her fear of how she might do.

A contingency model of motivation fits here. If the cosmetology student who posted on Facebook believes she has a good chance of failing the exam even if she works hard then she will not put in effort. If the same student believes she will do well but does not believe the outcome, in this case the state license, is a worthy goal then she will not put in effort. Only if she believes the license is worth earning *and* she believes that if she works hard she will be successful on the test will she then exert the effort to prepare for the test. A contingency model warns against giving practice tests before the material is mastered as this assessment can influence a student's belief that they will be successful on the final assessment, thereby reducing the student's level of motivation.

How much success an individual has had in the past can also influence the behavioral elements of the feedback loop, but again these are connected to how the person has perceived the past experiences. If the cosmetology student has spent hours and hours studying in the past without success then she would be harder to motivate to study. Her study strategies may have been ineffective, but depending on her ego state, it may be more difficult to change the way she has studied in the past (and believes it to be the right way to study) than for her to give up the opportunity. Optimistically, let's continue with the assumption that the cosmetology student values the state licensure and is willing to prepare for the exam, and the Facebook post was a moment of self-doubt. If this student prepares and does well on a practice test one week from now (assessment against standards), then she will have to make the decision about her next decision. What is missing from the graphic is the inevitable affective reaction to the results of the practice test, the student will feel good or bad (oversimplified) based on how she performed. This affective reaction will certainly influence her next behavioral decision to continue her current course (studying for the exam), change her approach or quit.

With less time before the state exam, and her solid performance on a practice test, she will reassess her strategy and may set a new goal, such as attaining a high level of performance on the state licensure exam instead of just passing it. A positive experience can spiral the cosmetology student into more frequent behaviors that are likely to feed the positive cycle. Conversely, negative affective reactions can lead to self-defeating behaviors and negative assessment outcomes, creating a negative spiral.

Rarely is the situation as straightforward as it is for our cosmetology student. In pragmatic, educational situations the opportunities can be complex and come with intertwined positive and negative elements. The essential elements of the feedback loop persist whether the situation is straightforward or mired in competing interests, and the behaviors embedded in the feedback loop itself can be described by the theory of self-determination (Ryan & Deci, 2000; Figure 4). The cosmetology student, through her Facebook post indicated an impersonal locus of control, without any regulatory processes. She displayed no evidence of motivation, all but dismissing the external reward of state licensure.

Many students of all ages have an external locus of control, seeking external rewards such as grades. For these students, cheating is a reasonable behavior, as learning is relatively unimportant. As we move towards slightly more self-determined behaviors, while grades are still an important reward, they are a measure of worth. This student would describe himself or herself as an "A" student. As educators, we hope to have students who are more self-determined than this, students that value the learning and have developed an awareness of the external factors that motivate them. The fully self-determined individual does not rely on extrinsic motivation. Ideally, leader candidates fall into this category, but it is more likely that the full continuum is represented in a leadership preparation program.

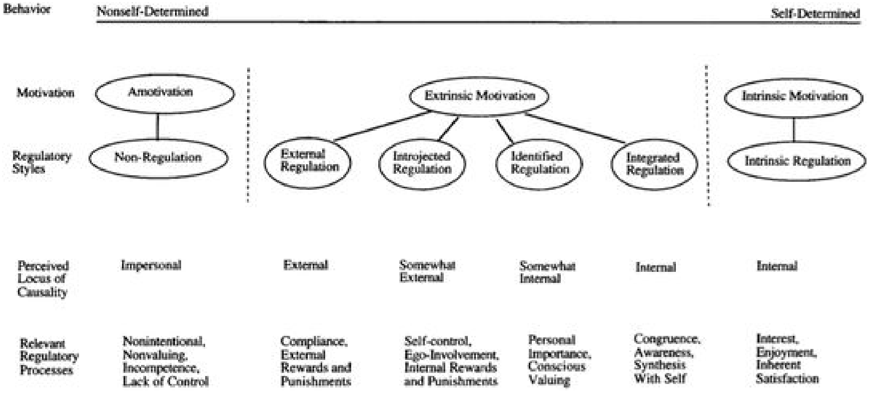
Behavior
Nonself-Determined
Self-Determined
Motivation
Amotivation
Extrinsic Motivation
Intrinsic Motivation
Regulatory Styles
Non-Regulation
External Regulation
Introjected Regulation
Identified Regulation
Integrated Regulation
Intrinsic Regulation
Perceived Locus of Causality
Impersonal
External
Somewhat External
Somewhat Internal
Internal
Internal
Relevant Regulatory Processes
Nonintentional, Nonvaluing, Incompetence, Lack of Control
Compliance, External Rewards and Punishments
Self-control, Ego-Involvement, Internal Rewards and Punishments
Personal Importance, Conscious Valuing
Congruence, Awareness, Synthesis With Self
Interest, Enjoyment, Inherent Satisfaction

Figure 8.3. The self determination continuum including types of motivation, regulatory styles and locus of control. From Ryan, R. M., & Deci, E. L. (2000). Self-determination theory and the facilitation of intrinsic motivation, social development, and well-being. American Psychologist, 55, 68-78.

TEACHING APPROACHES

Using reflection techniques can help students become more self-determined, but there is a caveat, some students have an over developed sense of self-worth that does not align with their actual skill set. Twenge (2013) reports that recent students have unrealistically high expectations, and high levels of narcissism. This unrealistic self-concept skews the feedback loop leading to student perceptions of professors being “unfair for giving negative feedback” (Twenge, 2013, p. 67). She suggests using peer evaluations and frequent, constructive, specific, feedback, noting that the traditional midterm/final assessment scheme will not be useful for these students. By designing leadership classes with ample peer feedback and reflective work, leader candidates can be recalibrated if they have a dysfunctional feedback loop. While a single class may help a little, it is a programmatic commitment to help candidates become more self-determined that is more likely to be successful.

In addition to reflective work, during class discussions, when a candidate displays a positive leadership trait or relates an experience, explicitly teasing out the leadership dimension in the experience and purposefully labeling actions as leadership behaviors highlights that there is leadership at all levels. Initially, candidates tend to dismiss attention brought to their everyday leadership activities. They reject the new view of their actions to preserve the way they conceived their role. As the semester continues, candidates begin to point out the leadership actions in their peers, and begin to accept this label for their actions and begin to frame experiences they share with this leadership lens. Bandura (1997) asserts that seeing peers successfully model leadership behaviors raises the observing candidates' self-efficacy beliefs, making it more likely that they will improve their own performance.

This shift in how leader candidates see themselves can be observed in tangible ways. The candidates start using different words to describe situations, words that are more purposefully chosen. Word choice is explicitly addressed in class. Even casual comments, if they include words that may offend, are overly negative, or promote stereotypes, are immediately pointed out, with a specific rationale for why this word choice is not preferred for a leader, and alternate wordings suggested. This may stop the flow of a class, but it is an important teachable moment that builds a foundation for the shift in language. Taking more time to think about their words, leader candidates also think more about the impact of their messages. Bandura (1997) connects this self-influence to his conception of motivation, labeling it as the cognitive mechanism of motivation, and it also fits in the Ryan and Deci continuum (2000, Figure 4) as a regulatory process that is becoming more internalized.

The candidates begin to share experiences that are not focused on asserting that they are competent professionals, but rather that focus on the effects actions have on others. Like candidates path on Diffley's readiness curve, this shift in self-concept happens quickly for some candidates and takes longer for others. The self-promoting stories often shared in the early part of a course serve a protective function; they insulate the ego from threats to self-esteem and negative social evaluation. Providing opportunities in class to build efficacy beliefs and a safe space for sharing lowers the threat to the ego and promotes positive growth in cognitive, affective, behavioral, and motivational processes (Bandura, 1997). Bandura further explains that requiring candidates to verbally model how they will handle situations and solve problems aids in the development of reasoning skills and understanding, building competency beliefs and self-efficacy.

By improving the calibration of candidates' feedback loops, a leadership preparation program modifies the candidates' expectations and behaviors. Moving along the self-determination continuum, the student internalizes their locus of control; owning their decision making processes and the consequences of those decisions. As the candidates perceive themselves differently, hopefully more accurately, they behave in a manner congruent with how they would like to be seen by others.

Leadership preparation programs make choices too in how they develop their candidates to be successful in the field. While remaining sensitive to the multiple roles leader candidates must balance, encouraging ego development, and the development of self-efficacy, leader preparation programs seek to build the competencies of developing leaders. Following the example set by Margie Gillis, leader preparation programs can help candidates find their calling, and cultivate the capacities of these leader candidates positioning them to empower others. Margie leveraged what she learned in her coursework conjoined with diverse experiences to found Literacy How, an organization devoted to empowering teaching excellence. Leader preparation programs seek to inspire excellence in their candidates; building readiness through purposeful classroom discussion, modeling, case study work, and field work. A leadership preparation program can move candidates from awareness ready, to knowledge ready, and from knowledge ready to performance ready, with the ultimate goal of positioning leader candidates to become impact ready, improving the educational experiences of students.

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Chapter Nine

Field Experience in Educational Leadership Programs

The Essential Core

Cynthia McDaniels

It is widely recognized that aspiring leaders need to acquire “school-based” knowledge and experiences in order to understand the intricacies and complexities of what occurs in schools to prepare them for successful leadership. Therefore, colleges and universities are mandated to provide comprehensive opportunities for candidates in educational leadership programs to have a solid field based placement in a school setting in order to gain substantive insight about what really takes place in a school. A key element in this process involves the pairing of an inexperienced educator in training with an experienced leader to help induct the aspiring leader into the professional leadership culture, including the responsibilities and challenges that school leaders have. It is only when aspiring leaders are placed in a school are they able to engage in authentic practices and critical reflection on what leaders need to know and do to effectively lead schools in an ever changing multifaceted world.

This chapter examines four essential elements that are at the core of the field experience in advanced educational leadership preparation programs. Aspiring school leaders must participate in a mentorship, have a deep understanding of all facets of school climate, engage in a meaningful community service activity and develop an action based project to increase student learning and promote teacher professional development. These components are firmly grounded in national, state and educational leadership organizational standards that utilize best practices that include focused observations, critical reflections and authentic assessment.

In an effort to prepare educational leaders for the challenges presented in twenty-first-century schools, universities have increasingly relied on national and state mandates in the redesign and development of their educational leadership programs, including job-embedded learning. Currently programs require students to spend a minimum of a third of their placement in the field and doing the work of educational leaders, rather than the research-based thesis-style academia of previous generations (Fullan, 2009; Herbert, 2009). The field experience in graduate educational leadership programs is recognized by researchers, professional organizations, accreditation agencies, graduate students and practitioners to be the foundations of leadership development. Many veteran principals considered the field experience to be the most valuable part of their program because it provided the opportunity to make strong connections between theory and practice.

STANDARDS AND FIELD EXPERIENCE

Since the early nineties, educational leadership programs have increasingly adopted the standards-based approach developed by the Interstate School Leaders Licensure Consortium (ISLLC), that require a field placement for state certification. The standards are widely used in educational leadership programs throughout the country to improve quality school leadership capacity and standardize educational certification and licensure. Other professional leadership organizations and accrediting agencies also include ISLLC standards in their respective missions and processes. In 2002, ISLLC and the National Council of Accreditation for Teacher Education (NCATE) initiatives were merged into the Educational Leadership Constituent Council (ELCC) and National Policy Board for Educational Administration (NPBEA) program standards. Also, the National Council for Accreditation of Teacher Education (NCATE) required standards as a part of program accreditation. The standards based field experience has been recognized as a common component in exemplar programs (Darling-Hammond et al., 2007).

With the incorporation of national standards into leadership certification programs, the field experience meets the criteria for what is referred to as signature pedagogy. Lee Schulman (2005), President of the Carnegie Foundation for the Advancement of Teaching, advanced the need for signature pedagogies to prepare future practitioners for their professional work. According to Schulman, a signature pedagogy has a deep structure, "a set of assumptions about how best to impart a certain body of knowledge and know-how. And it has an implicit structure, a moral dimension, that comprises a set of beliefs about professional attitudes, values, and dispositions" (p. 55). The field experience is an integral part of the signature pedagogy in educational leadership programs.

The three major components that form the core of the field component in advanced programs in educational leadership are the mentorship, action based projects, and community service. There are instructional strategies and delivery modalities that are frequently used to address the three components; observations and critical reflections, case studies, group processes and other engaging activities that provide expansive opportunities for the aspirant leader to fully participate in all facets of school based practices that are outlined in leadership standards. NCATE:

> Field experiences represent a variety of early and ongoing school-based opportunities in which candidates may observe, assist, tutor, instruct, participate in service learning projects, or conduct applied research. Clinical practice includes student teaching and internships that provide candidates with experiences that allow for full immersion in the learning community so that candidates are able to demonstrate proficiencies in the professional roles for which they are preparing. Clinical practice provides opportunities for candidates to interact with students' families and communities in ways that support student learning" (2011).

LEADERSHIP MODELS AND FIELD EXPERIENCE

Field experiences in educational leadership programs are grounded in multiple leadership, organizational, and learning theories. The premise is that if the primary role of schools is to teach skills and knowledge to children to achieve success in their lives, then schools require an individual who clearly appreciates this responsibility and is strongly prepared to assume the paramount role of school leader. Such a leader must have intimate knowledge of all aspects of how schools function and conditions for student learning. In order for aspiring leaders to be ready to take on the demanding challenges in schools, time must be spent in school settings as part of their training to equip them with the essential knowledge and experiences for effective leadership.

While many leadership theories are examined in educational leadership preparation programs, the instructional leadership theory is perhaps the most essential. It is imperative that schools leaders have an understanding of instructional leadership in order to address the learning needs of students. Increasingly leaders are more directly linked with and are being held accountable for student achievement than in the past. Leithwood, Anderson, and Wahlstrom (2004) found leadership and its impact second only to classroom instruction among all school related factors that contribute to what students learn at school. According to Green (2010) "the role of the principals has many dimensions and includes: (a) creating a comprehensive, rigorous and coherent curricular program, (b) providing personalized and motivating learning environments for students, (c) developing the instructional and leadership capacity of staff (d) maximizing time spent on quality instruction, (e) supervising instruction, (f) monitoring and evaluating the impact of the instructional program, and (g) developing assessment and accountability systems to monitor student progress" (p. 3).

The situational leadership theory is also important in field placement for aspiring leaders because it provides the forum for deeper understanding and observations of school practices in real time and non-simulated circumstances. The supposition is that each situation is unique and therefore one approach is not better than another, but that the leadership approaches are defined by the situation. "There are very important contextual factors such as composition of the teaching staff, the student body, the community, the district situation, state mandates, and the principal's own past experience that seem to shape how the principals accomplish their role." (Gorton & Alston, p.14). It is also noteworthy that the majority of aspiring school leaders emerges from the teaching ranks and participates in the field experience in the school setting where they work. The site based setting in a full time job embedded setting provide opportunities for aspiring leaders to immerse in "on the job" learning and practice in a familiar setting. In addition, the situational embedded design is increasing as higher education institutions seek to establish strong linkages with school districts (Barnett, B. G., Copland, M. A., & Shoho, A. R. (2009). According to Kouze and Posner (2002), strategies, tactics, skills and practices are empty without an understanding of the fundamental human aspirations that connect leaders to constituents (p. 23). The following account of the benefits of the situational approach in the field experience is evident in the description from an intern (#1) on a crisis management presentation by a panel of principals at a professional development workshop.

> The specific details of how each principal handled crisis emphasized the importance of understanding the uniqueness and culture of each school and community. Each crisis and explanation by each school leader reminded me of the harsh realities for which school leaders need to prepare themselves. Every speaker noted that while there is no blueprint for handling these situations, we can prepare ourselves to handle them by developing a clear crisis plan, establishing and practicing effective protocols, clearly communicating what people need to know, and debriefing immediately after an incident to update the plan, if necessary. They emphasized the vital importance of knowing your organization, knowing the plan, being visible, portraying calm and confidence, being decisive, and providing accurate information (McDaniels, 2014).

In addition to instructional and situational leadership theoretical approaches, other models are germane to leadership development and are highlighted in the field experience. The skills, task oriented, trait, transformational, and servant leadership theories are widely used in school leadership preparation. The skills approach to leadership makes it possible for leaders in training to identify, acquire and practice the core skills required to manage situations in their schools. A task oriented approach to leadership helps the prospective leader understand the many procedures, activities and goals that must be accomplished in order for their school to function. The trait approach assists the prospective leader in examining the personal and professional characteristics that influence the manner in which a person leads. If the aspiring leader is to be able to improve schools and increase student learning, transformational leadership, a process that involves an exceptional form of influence that moves followers to accomplish more than what is usually expected of them, must be understood. It is a process that often incorporates charismatic and visionary leadership approaches (Northouse, 2012).

The field setting allows for aspiring leaders to connect the leadership theories and other content knowledge and research to actual school settings. The field is an invaluable instructional and learning tool because it provides for multiple levels and dimensions for learning about the complexities of school leadership.

INTERNSHIP STRUCTURE AND PRACTICES IN EDUCATIONAL LEADERSHIP

There are many forms of field experiences and a wide variability in the quality and quantity of internship requirements and activities even with the incorporation of national standards and guidelines. The internship is the most widely used field based structure in advanced educational leadership programs. The National Council for Teacher Accreditation (NCATE) standard 7 describes the purpose of an internship as follows:

> Internship as providing significant opportunities for candidates to synthesize and apply the knowledge and practice and develop the skills identified in Common Core Standards through substantial, sustained, standards-based work in real settings, planned and guided cooperatively by the institution and school district personnel for graduate credit (2010).

Carr, Chenoweth, and Ruhl (2003) identified four types of internship experiences: independent, interdependent, embedded, and apprenticeship. Many institutions use a combination of types and varied practices to provide a broad range of opportunities to train future educational leaders. Some internships allow the intern significant flexibility in determining their experiences while others are deeply embedded in a rigid set of practices. The duration of the interns also vary from those that last for a few months to others that extend for a year or more. Many programs place the internship towards the end of the preparation program as the culminating activity, while other programs begin the experience early and infuses it throughout the program to expand the opportunities for aspiring leaders to continuously make the connections between theory and best practices. Kouze & Posner, 2002, assert that when durable interactions are frequent, the consequences of today's actions on tomorrow's dealings are that more pronounced. In addition frequent interactions between people promote positive feelings on the part of each for the other (p. 258). The following narrative written by Intern (#2) who underscores the importance of time and its impact on his professional leadership development:

> Even though I have been a teacher at the same school for eight years, I never looked at the school from a leadership perspective until I began taking courses in the EDL program. Then when I began the internship, it took my thoughts to another level. Over the thirty weeks, 200 hours, and many assignments, I began to look at the role of the leader on teachers, paraprofessionals, office clerks, kitchen staff, and last but not least, the building leaders who are all being held accountable for the student achievement. I had to think about how I would motivate people to work cohesively and explore new teaching practices and it is not an easy task. Without the prolonged opportunities to participate in this process, I would not be confident to assume a leadership position (McDaniels, 2011).

INTERNSHIP AND SCHOOL CLIMATE

School climate is considered one of the top variables school staff and policymakers constantly evaluate (U.S. Department of Education, 2005). The climate of a school is critical to a school's success in advancing the primary mission of schools which is to educate children and prepare them for a successful life. According to A. Loukas (2007), it is difficult to provide a concise definition for school climate, but most researchers agree that it is a multi-dimensional perceptive construct that includes physical, social, and academic dimension. Each part is interconnected and each district follows their own climate guidelines (p. 1). In the aftermath of increasing incidents of school violence and bullying, attention has refocused on school climate and the pivotal role of the school leader in creating and maintaining a positive school climate. According to Fullan (2002), a skilled administrator recognizes that nothing in a school is too small not to contribute to its climate.

The goal of the National School Climate Center (2014) is to promote a positive and sustained school climate; a safe, supportive environment that nurtures social and emotional, ethical, and academic skills. A comprehensive assessment of school climate includes major spheres of school life such as safety, relationships, teaching and learning, and the environment as well as larger organizational patterns (e.g. from fragmented to shared; healthy or unhealthy). The climate of a school affects student development and academic achievement. Research conducted by Cohen (2006) showed that a positive school environment is significant in meeting the academic, emotional, and social needs of students (p. 201). The intern can acquire keen insight into the role school climate plays in school improvement, student achievement and faculty professional development. Interns in the theoretical based courses cover the generic variables of school climate, but the internship in a school setting optimizes the opportunity to actively connect prior learning to situational leadership practices, including the school climate.

School climate is a perceived construct, and as with most perceptions it is open to different interpretations depending on a person's value orientations and experiential background. The internship provides an opportunity for aspiring leaders to examine their values, attitudes and beliefs about schooling. "Clarity about personal values is more important in our attitudes about work than is clarity about organizational values alone. Ultimately it is people who decide if the organization is a great place to work. Those individuals with the clearest personal values are better prepared to make choices based on principle—including deciding whether the principles of the organization fit with their own personal principles" (Kouze and Posner, p. 51). It is a challenging, but a necessary exercise for aspiring leaders to engage in serious reflection about leadership concepts, school climate and their personal values.

THE CRITICAL COUPLING OF MENTORSHIP AND INTERNSHIP

Perhaps the most essential component in field based learning in leadership education programs is the mentorship experience. The term mentor is derived from the Greek mythical character Mentor, in Homer's Odyssey. According to mythology, Ulysses, the king of Ithica asked Mentor to take charge of his son while he was overseas fighting in the Trojan War. Mentor guided, nurtured, coached and was a caring role model who was committed to the development of his protégé's full potential. These attributes ascribed to Mentor have endured into the twenty-first century and form the foundations of what is included in modern day mentoring programs in educational leadership internships. University educational leadership departments trustingly concede their aspiring leaders to the mentors in the field to perform many of the functions described in the Odyssey.

Mentoring is closely associated with social learning theory whereby an individual develops within the scope of social relationships consisting of a core group that influences the individual's new behavior and evolution of self-confidence (Kram & Isabella, 1985). Additionally, social learning theory suggests that managers (and thus, hierarchical mentors) may act as role models for subordinates and facilitate protégés' learning of technical and interpersonal skills necessary for advancement within the organization (Eby, 1997; Koocher, 2002). It is through the socialization process that novices acquire the values and attitudes, the interests, skills, and knowledge, in short the culture, current in the groups of which they are, or seek to become a member (Merton, Reader, & Kendall, 1957, p. 287).

Leadership theories that are significant to the mentorship are relationship and leadership-membership exchange (LMX). Relational leadership is described by researchers (Bowers & Seashore, 1966) as having an employee orientation which involves taking an interest in workers as human beings, valuing their uniqueness and giving special attention to their personal needs (Northouse 2012). Transformational leadership theory is referenced in the context of mentoring in terms of how managers can inspire subordinates by assuming the roles of coach, teacher, and mentor. Leader-member exchange theory (LMX) demonstrates applicability to mentoring, as it notes how managers selectively develop strong bonds with some subordinates and act favorably in developing their strengths and careers. In the context of LMX theory, mentors are known for perceiving high potential protégés and spending more time—and more quality time—with them than with those having perceived lower potential (Ensher, et al., 2001, p. 435).

MENTORING: DEFINITIONS, TYPES AND PROFESSIONAL DEVELOPMENT

The literature on mentoring is replete with nuanced definitions and interpretations that pertain to many professions, including educational leadership. Mentoring is a process for the informal transmission and communication of knowledge, social capital, and the psychosocial support perceived by the recipient as relevant to work, career, and professional development (Bozeman, B.; Feeney, M. K., 2007). Successful mentoring should be a nurturing relationship that is based on mutual respect, honesty and trust that leads to professional growth. According to Russell & Russell, 2011), six critical characteristics of mentors: (a) willingness to share knowledge, (b) competency, (c) willingness to facilitate growth, (d) honesty, (e) willingness to give critical, positive, and constructive feedback, and (f) ability to deal directly with the protégé" (p. 4). I describe mentoring in my internship courses as:

> A relationship between a certified site-based school leader who has experience in a school setting and an inexperienced aspiring leader who is seeking state certification in educational leadership. The purpose of the relationship is for the certified leader to expose the aspirant leader to opportunities to observe and participate in leadership. It is also the role of the certified leader to assist the aspirant with problem identification and problem solving, understand ef-

> fective communication and provide meaningful feedback based on their leadership experiences (McDaniels, 2014).

Mentorship approaches in education range from online use of telecommunication tools to peer mentoring that groups novice and experienced peers together to provide mutual support in an educational setting. An increasingly popular type of peer mentoring is the cohort model where aspiring leaders from the same district complete the program on a set schedule and where courses are taught in the school district and online. It offers a form of support that has some of the characteristics of group mentoring. Effective programs that allow for organized participants into cohorts provide for networking, support and collaboration, and emphasized clear values about leadership (Darling-Hammond, Orphanos, LaPointe, & Weeks, 2006; Darling-Hammond, Meyerson, LaPointe, & Orr, 2009).

However, the most common mentoring structure is the formal one-on-one mentor/mentee relationship and the informal access that a mentee has to a network of mentors, including peers, interdisciplinary experts, communities' leaders, and agencies that promote student achievement, school improvement, and leadership development. I inform my students at the initial orientation that they will experience the duality of mentoring; first they will be mentored in the leadership program (pre certification) and then when they become educational leaders, they will mentor members in the school community (post certification) as the top leadership mentor. The Janus Effect named after the two faced Roman god of beginnings captures the duality of mentoring in educational leadership programs. Kouze and Posner (2002) describe the Janus hypothesis that as we make sense of our world retrospectively, that all understanding originates in reflection and looking backward. We construct the future by some kind of extrapolation, in which the past is prologue, and the approach to the future is backward-looking (p. 118).

An effective mentor contributes to the development of aspiring leaders best when there are open communication and recognition of the uniqueness of both individuals. "A mentee offers the diverse characteristics of themselves for the mentor to learn from. Each mentee that a mentor has is unique through learning styles, race, ethnicity, gender, beliefs, knowledge, socioeconomic statues, etc. method of promoting professional development that sets in motion the process of self-actualization and growth" (Talley, p. 331). This is especially important for aspiring leaders as the demographic changes in American schools present new challenges for leadership and faculty.

As school districts implement sweeping reforms in teacher education, including teacher evaluation and professional development, educational leaders are required to formally mentor aspiring leaders as well as a cadre of their teachers who are at various stages in their professional career. "Whether the mentor program is mandated or voluntary, it appears the overall goal of teacher mentoring is to foster a relationship of ongoing support, collaboration and the development of knowledge and skills that translate into improved teaching strategies. Hargreaves, A., & Fullan, M. (2000) state, "The goal is not to create high quality mentoring programs as ends in themselves but rather to incorporate mentoring as part of transforming teaching into a true learning profession" (p. 55).

In graduate teacher education courses that I teach for initial certification programs, students were asked about what they expected from the school leadership when they complete their program and secure their first teaching position. The following narrative from a student (#3) represented many of the responses from pre service educators who will need the support of the school leader for their initial and continued professional development.

> The school leader should model what he or she expects from teachers. Show me how to be an effective teacher; examples is going to be a lot more helpful than simply telling me what to do; hands on learning approach wouldn't want anything to be sugar coated because I don't believe I would learn from that nor would I be able to fix my mistakes. By giving me the honest truth, whether it is good or bad, I will be able to better myself in the long run. Like any situation, communication is key. Without it, there may be confusion, lack of trust, etc. and that is not ideal. I would expect consistent and substantial communication to help better our relationship, which will ultimately help benefit my future skills as a teacher. My greatest fear, in relation to my career in education, is ineffectively dealing with or "stepping on the toes" of parents or fellow teachers who disagree with my methods. Learning politically correct terminologies and phrasings, as well as strategies for mediating and compromising with families and coworkers, could be invaluable to me (McDaniels, 2014).

While there are structured state mentoring programs in place to assist new teachers, it is the building leader who sets the tone and leads the culture of the school. The school leader has to supervise the state sponsored mentorship to ensure that teachers receive quality support from the assigned mentor and conduct the state required teacher assessment.

COMMUNITY SERVICE AND LEADERSHIP DEVELOPMENT

The impetus for incorporating community service as an integral part of the field requirement in leadership development programs is firmly grounded in social and servant learning leadership theories. The term "servant leader" is defined by Greenleaf (1970) as someone who is servant first that begins with the natural feeling that one wants to serve. "Then conscious choice brings one to aspire to lead" (p. 15). Servant leadership is multi-dimensional and includes community-based learning, volunteerism, internship, community service, youth service, peer assistance, national service, and experiential education to mention a few.

The National Service-Learning Clearinghouse (2012) posits that service learning is a teaching and learning strategy that integrates meaningful community service with instruction and reflection to enrich the learning experience, teach civic responsibility. The service may entail actual routine hands-on activities to highly specialized activities involving innovation where communities are renewed and invigorated and recipients undergo paradigm shifts.

ISLLC standards provide a detailed description of the knowledge that administrators need to know about the community.

Standard 4: A school administrator is an educational leader who promotes the success of all students by collaborating with families and community members, responding to diverse community interests and needs, and mobilizing community resources. The ISLLC list includes emerging issues and trends that potentially impact the school community, the conditions and dynamics of the diverse school community, community resources, community relations and marketing strategies and processes, successful models of school, family, business, community, government and higher education partnerships. Also NCATE describes the need for community service as a part of the field experience in its standards. School Community and Collaboration, as it is with these two aspects that students will begin to become aware of the common goals that were created by the school community through mutual collaboration. This collaboration is what will continue to propel the common goals of the school to the forefront in classrooms, in the buildings, in the homes, and in the overall school community of our students.

Standards for community service are also often codified in state education guidelines. For example, the Connecticut Code of Professional Standards underscore the professional responsibilities educators have to the community. The professional educator must be cognizant of the influence that educators have upon the community-at-large; obey local, state and national laws; encourage the community to exercise its responsibility to be involved in the formulation of educational policy; promote the principles and ideals of democratic citizenship; and endeavor to secure equal educational opportunities for all students (Connecticut State Department of Education, 2012).

The purpose of the community service requirement is to provide the intern with experience in leading a project or activity that connects the school with the community and enhances the intern's knowledge about the community while providing a meaningful service by the school to the community. Examples of community agencies and settings may include local government departments, health care facilities, charities, senior centers, professional service organizations that address specific community needs, such as environmental awareness, child care, domestic violence, disease and substance abuse prevention, homelessness, and youth development.

The rewards of a worthwhile community service project that positively impacted on interns, students, and community members is described by intern (#4) below:

> Community Service Goal: Assist the elder members of the community at the Community Senior Citizen's Community Center by showing them how they are valued and provide opportunities for them to share their life stories and provide minor services. In addition, the hope is that this will further instill in the young students the value of volunteerism that can expand over their lifetime. The project requires students to visit the Senior Center to read to the seniors, listen and take notes about their lives, assist them in communicating with others, and perform appropriate tasks for seniors. My first goal was to personally understand community service and related concepts such as volunteerism and service learning, so that I had a full appreciation for what this requirement truly entailed. To do this, I researched the topic and found many references on the origin, projects, and most importantly those that involved K-12 students. The experience was informative, uplifting and beneficial to everyone. I took on a variety of leadership roles. I helped facilitate students to develop their community service project, wrote a grant with them to acquire a small budget to assist in the achievement of our goals, was a liaison between students and the community, and aided in fundraising and culminating activity (McDaniels, 2014).

ACTION BASED SCHOOL PROJECT

The third pillar of the internship experience is the development and implementation of a school action based project that is anchored in leadership standards, grounded in research and contributes to school improvement and student learning. When an intern develops and leads a school based project that promotes school improvement and increases student performance, there is a realization that they have demonstrated the capacity to lead: "The development of the action research project was designed to teach aspiring principals that ... action researchers differ from traditional researchers because they are committed to taking action and effecting positive educational change based on their findings, rather than being satisfied with reporting their conclusions to others" (Mills, 2003, p. 3).

Each project should identify one substantial goal that the intern initiates and develops to improve a program, provide service, improve curriculum, review assessment, and other endeavors that increase student performance, raises achievement levels and are consistent with school and district goals. The project goal should have clearly stated goals and specific objectives that describe what is to be accomplished during the internship. The project should include sequential steps, a timeline and supportive evidence and assessment measures throughout the implementation process.

The following is an excerpt from a one year action based project completed by a recent intern (#5) in discussion the project goal.

> Coordinate the Technology department in the development of activities and assessments to embed relevant Common Core ELA and Math standards and Smarter Balanced Assessment like performance tasks within our current curriculum. Thereby to educate teachers on the new standards and how to modify existing units to reinforce the new Common Core standards. This process of embedding and identifying, close-reading strategies, and examples of relevant non-fiction tests and assessments will be shared with the entire school staff. By creating a uniformed vision for reading across the disciplines and applied math, staff will begin to see the connections between what they are currently teaching and areas which these skill sets can easily be embedded. Creating useful assessment are essential so teachers can see what areas students are struggling with and be able to adjust future reading and strategies. At the end of the year I had written a grant to help support our imitative to incorporate personal finance within our current course offerings. Since there is a strong alignment between the goals of the grant, school's goals and this project's goals, the monies and reporting within the grant will be managed to help support and facilitate these goals (McDaniels, 2014).

OBSERVATION AND REFLECTION

Interns are expected to have an open mind and a willingness to acquire new knowledge, and engage in behaviors that promote their professional growth. They are encouraged to seize all opportunities to participate in all facets of leadership that are available to supplement and enrich their site based experience. There are specific experiences that should be included in the observation requirements. Many programs require that interns attend a local board of education meeting to understand the source of district policy, a professional workshop to keep current with the new practices and reforms, other teachers to examine pedagogical styles, and other events and practices. As many states are now formally using formal observations in a very structured manner, a leader's formal observation constitutes a significant part of the overall assessment. One of my interns (#6) describes his first observation in using the recently developed teacher evaluation model to assess teacher performance.

> I was given an evaluation rubric that indicated the four domains of the SEED model: (1) Planning for Active Learning, (2) The Classroom Environment, (3) Instruction, and (4) Professional Responsibilities and Teacher Leadership. I was told that we'd be focusing on domains 2 and 3, and would then compare notes afterward. I've observed other teachers in the past, but in a much more

> informal setting; in this instance, I would be the recording the information in the same way I would be if I were an administrator. We got in as the students were finishing their handwriting, and I took a seat in the back to watch things unfold. Watching a class from the back of the room gives you a much different perspective when compared to teaching from the front. I'd like to think that, as a teacher, I am much attuned to the happenings in my classroom (McDaniels, 2014).

Critical written reflections are a useful tool for aspirant leaders to learn, organize and process their observations and other experiences. Serious reflections extend beyond the chronically of observed phenomena to include an examination of personal values and contextualization. Reflections promote the critical analysis in a deliberative, detailed and clinical manner. Each reflection should describe in detail what was observed and focus on questions such as: How did the experience contribute to your understanding of leadership? In what ways did the experience relate to educational leadership standards? To what extent did it build leadership competencies? What new knowledge and/or skills were acquired as a result of the experience? How has the experience changed your opinion about the organization, culture, climate and leadership? How has the experience enhanced personal style of leadership? What are your recommendations to improve the activity that you observed? The following reflection written by one of my interns (#7) after observing a PPT meeting addresses some of the questions pose above.

> The most important aspect that I took away from this observation was the fact that my administrator did not have a starring role. Throughout most of the meeting he was taking notes and listening. It was as if he took the position that the teachers know this child best because they work with him so intimately, so I will default to them. When the disagreement came over the planned program he listened to both sides and continued to take notes. I realize that he was trying to take into account what each stakeholder was communicating. After considering every perspective he centered the meeting back on the data at hand. He noted the progress made and that the child was in his least restrictive environment. He also explained that more hours doesn't necessarily equate to improved achievement. The principal's role was a calming force that brought various perspectives into view and brought the heated discussion back on track. While this process is far from over, he kept the staff calm, supported the teacher because she was making suggestions in the best interest of the child. As a future leader, I will be involved in countless PPT meetings about students in my school. My recommendations to myself are to sit back and listen to all parties involved (McDaniels, 2014).

CONCLUSION: VALUE OF THE INTERNSHIP REQUIREMENT

In the quest to build and maintain high quality educational leadership preparation all programs struggle with ways to provide robust internships (Darling-Hammond, Myerson, LaPoint, & Orr, 2010, p. 74). The following assessment from intern (#8) that I supervised in the past wrote the following:

> This year, the internship provided me with the opportunity to delve deeper into the role of a school leader. I felt fortunate that members of the administrative team took the time to debrief with me after a situation and to discuss how to improve upon the challenges of the day. These opportunities as well as the daily challenges allowed me to see the role of a school leader in a way I had not seen it before. There has clearly been a progression where my views have shifted from a common counseling perspective to viewing situations through the lens of an educational leader. I am grateful for the opportunity to have completed this program and improve my leadership skills. Regardless of my current or future positions, this skill set will serve me well in being a successful member of the educational team at my school (McDaniels, 2014).

After the completion of courses and the internship, the final process for leadership certification of school leaders in most states requires the passing of a test that assesses knowledge, skills and dispositions of aspiring leaders. States develop their test around ISLLC's six administrative standards upon which solutions to problems must be based. It is designed to determine the extent in which a student in a leadership preparation program possesses work related knowledge and skills at the time of entry into educational leadership. For example, the Connecticut Administrators Test (CAT) consists of four modules. The first two modules ask an aspiring school leader to take the role of a new principal in an elementary and secondary context, to review Connecticut Strategic School Profiles (SSP) and community information, and to develop a school improvement process. The second two modules require candidates to take the role of an instructional supervisor and to review, analyze and prepare recommendations for support in response to a teacher's unit plan, student work and a brief videotape segment of instruction in an elementary and secondary setting (CSDE, 2014). One of my interns (#9) who recently passed the test reflected on how the internship prepared him to successfully pass each part of the test:

> As I was thinking how to best respond to the questions, I recalled what I had experienced during the internship. My project focused on how to improve our school, my mentor gave me so much coaching, my professors taught leadership strategies and I was able to put them all together. As far as the instructional portion, I was an experienced teacher and transferred what I knew from experience to what I had learned about leadership (McDaniels, 2014).

Researchers have found that it is through immersion in real school problems that pre service principals gain meaningful problem solving skills (Browne, Ferrigno and Muth, 2004). The internship experience is essential in the preparation of school leaders. Without the field experience, the opportunities for aspirant leaders to have the fullest and deepest opportunities to observe and practice approaches to school leadership are severely limited.

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Section 3
Knowledge and Strategies for Improving Education

Introduction

Norris M. Haynes

In this section, the authors address all of the key leadership themes identified in the introduction to this book. The leadership themes of *student development and learning* and *professional development* are addressed in Chapter 13; *developmental, socio-cultural and learning contexts* in Chapter 12; *accountability* in chapter 11 and *advancing the field* in chapters 10 and 14.

The first chapter in this section, Chapter 10 is written to provide educational leaders in training and in practice with an in-depth and working knowledge and understanding of research designs, methods and procedures. The authors describe and explain in detail, with some examples, three overarching types of research approaches: quantitative, qualitative and mixed research. They examine sub-categories within each approach, elaborating on the design strategies, sampling methods, data collection procedures, and data analysis applications within each approach. The authors at key junctures in the chapter reinforce the value of knowledge of research applications to the educational leader. The authors conclude the chapter with a discussion on the teaching methods and strategies that are used to deepen students' appreciation for and understanding of research applications in the work of the educational leader.

Chapter 11 focuses on program evaluation which to a large extent is a form of applied research but with an emphasis and focus on examining the implementation and outcomes of specific programs. The author makes a strong case that educational leaders must me knowledgeable about program evaluation methods given that they are required to make informed and evidence based decisions about the effectiveness and worthiness of programs under their control. Even if an external evaluator is hired to conduct an evaluation, the educational leader must be able to determine the validity and strength of that evaluator's work. In the chapter, the author delineates the phases and components of a program evaluation, including the formative, implementation, outcome and impact phases. He notes that it is often useful for an evaluation design to be premised on a logic model that identifies key program components in terms of inputs, processes (throughputs), outputs, and outcomes. The logic model helps to either formulate or clarify the evaluation questions to be addressed. An evaluation example is used to demonstrate the application of the logic model and to show how program implementation is assessed and linked to program outcomes.

In chapter 12, the authors discuss the importance of effectively educating English learners. The data indicate that English learners are far behind their English speaking peers on measures of academic performance. This, to some degree, is not surprising given the myriad of factors that impact and to some degree impede the academic progress of English learners. As the authors point out, there are socio-cultural including linguistic factors that must be considered. There are also significant psycho-emotional factors as well. The authors, though, note well that these potentially limiting factors can be seen as assets that a school can draw on to design school programs and create school contexts that advance and not further impede learning among the populations of EL students. They identify key areas that can make a difference in teaching English learners: *Teacher Preparation, Active Experiences, Teaching English Through Content, Use of Effective Strategies, Creating Opportunities for Student Output, Application of Second language Acquisition Theories into practice, Sheltered Instruction and Evaluation Through Student growth.*

In Chapter 13 the case for the importance of educational leadership in curriculum development and curriculum implementation cannot be overstated. Curriculum may in fact at times be understated in consideration of the educational leader's role. Curriculum is often described as scope and sequence and some individuals also speak of a hidden curriculum which involves the more affective contextual norms and expectations of the school. In Chapter 13, the author addresses curriculum leadership by connecting curriculum to assessments and to standards which is essential to educational leaders' determination of instructional success or failure. The author is known for his development of the *Balanced Curriculum* which does promote the linking of curriculum to assessments and to standards. It is important to note that in this chapter he presents the Balanced Curriculum as his approach to teaching curriculum and not as the adopted or sanctioned approach of his Department. He proposes what he calls the "ASIA Framework": *Alignment, Curriculum Structure & District Stability,* I*mplementation, Assessments.* He provides information that demonstrates how ASIA becomes operationalized and how the *Balanced Curriculum* works. In addition, the author describes how he uses the *Balanced Curriculum* to teach educational leadership students about the importance of curriculum to their roles as educational leaders.

In Chapter 14, the author presents a historical perspective on the advancing use of technology in education and makes a very strong case for the increased knowledge and use of technology by educational leaders. She reviews several models of technology development for educators such as: A Model for Technology Leadership (Anderson & Dexter, 2005), and A Model of Educational Technology Leadership (Davies, 2010) and finds that each one falls short in very important ways. She notes that they, "do not sufficiently capture the broad range of knowledge and skill required to lead technology planning, integration, and evaluation" (p.). She examines the International Society for Technology in Education (ISTE) Standards for Administrators which she describes as the "gold standard framework for the technology-related competencies of students, teachers and administrators" (p.). She also finds weaknesses with the standards as she does with Flanagan and Jacbsen's (2003) Role Responsibilities and Goals of Technology Integration framework. Given the lack of a viable and satisfactory model or framework that captures the essential elements of technology applications for educational leaders, the author proffers one of her own. She offers the Technology Leadership Model that she describes as "a comprehensive, but simplified map of the technology landscape educational leaders travel and must be aware of" (p.).

Chapter Ten

Applied Research Methods for Educational Leadership

Norris M. Haynes, Jess L. Gregory,
and William Diffley

In this chapter, the authors provide a detailed comprehensive discussion of research approaches, designs, methods and analyses. The intent is to present and describe as clearly as possible information that the authors believe educational leaders should know on how to conduct and apply educational research methods. We recognize that there are many text books and other sources on educational research approaches and methods. However, we strongly believe that a volume such as this, which is specifically written for educational leaders, would be incomplete without a chapter devoted to educational applied research.

The question often arises regarding the difference between evaluation and research. Evaluation may be considered as a subset of research and is referred to by many as evaluation research or program evaluation. As explained in chapter 11, program evaluation is concerned with determining the merit of a program that is specific to a given context and a given situation in order to make decisions in that situation or context. Evaluation questions are usually connected to some well-defined and described process and hoped for outcomes. Applied research on the other hand is concerned with determining how one variable or set of variables are related to, affect or are affected by other variables, with a view to generating knowledge that may be applied or have implications more broadly beyond the specific research context. The line between program evaluation and applied research often seems blurred because many of the same methodological procedures apply to both. The essential differences may lie in the purpose, goals and use of the findings generated from the analysis of data. In this chapter, the authors discuss the importance of research from the educational leader's perspective emphasizing the need for educational leaders to have a working knowledge of applied research (Scriven, 1991; Priest, 2001).

Current educational research helps to advance the field by generating new knowledge, providing new insights and by generating new conceptual frameworks regarding learning, teaching and leadership. Therefore, apart from being able to conduct and understand evaluation research which is discussed in Chapter 11, understanding educational research is important to educational leaders for at least three reasons: 1) educational research often informs current educational policies and practices; 2) the findings from educational research, in addition to informing decisions leaders make, offer supporting empirical evidence in justifying and defending those decisions; 3) educational leaders must continually update their knowledge and skills and educational research often provides new information and insights that help to keep the educational leader currently informed and prepared.

Educational research, like all research, may be viewed as conducting an investigation. The researcher investigates by collecting different kinds of data to answer questions of interest. It is a process of uncovering or discovering knowledge or truth about the relationship between and among variables (Sure, 2012). It involves

- Asking questions
- Deciding on how to structure or organize an investigation or study to answer the questions
- Identifying sources of information/data to address the questions
- Identifying or devising ways to collect the information or data
- Collecting information/data to answer the questions
- Analyzing the information/data to decide on the answers to the questions

For the purpose of this chapter, research is broadly categorized into three types based on the nature of the data used to address questions asked: Quantitative, Qualitative and Mixed.

QUANTITATIVE

With quantitative research, the data that are used to answer research questions or to address issues in practice are numerical data. The school leader relies on such data as test scores, responses on surveys that are usually scored on a Likert-type scale (e. g. strongly disagree = 1, disagree = 2, neither disagree or agree = 3, agree = 4, strongly agree = 5), rating scales (e.g., 1 = weak, 2 = average, 3 = strong), or other quantifiable measures. When quantitative measures are used, the educational leader is frequently seeking to determine if an intervention, such as a new curriculum, is effective by examining change in mean scores, change in the number or percentage of students meeting an established performance goal, or by comparing the mean scores of the group that received the intervention with the group that did not get the intervention. This allows the educational leader to draw inferences about whether or not the intervention worked or did not work. Quantitative data may also be used by the leader to measure the climate of the school.

Research Questions and Hypothesis

The research question provides direction for the methods used to conduct the research study. The question expresses the researcher's interest in the relationship among variables in the study. It expresses this interest in the interrogative. An example is: *"Do the hours of homework assigned affect students' achievement in math*?" The research hypothesis is a restatement of the research question in the form of a conjecture (informed guess to be tested) about the relationship among variables or the effects of some variables on others. A hypothesis may be non-directional or directional and may be stated in the form of the null-hypothesis or in the form of the alternate hypothesis. An example is: "*The hours of homework assigned do not affect students' achievement in math*?" (null hypotheses) or "*The hours of homework assigned do affect students' achievement in math*?" (alternate hypothesis). A hypothesis is tested and may be accepted or rejected. For *non-directional* hypotheses a *two-tail test is used* **.** For *directional* hypotheses a *one-tail test* is used**.** Aspects of a research design and execution may lead to errors that affect the results of analysis**.** A Type I error occurs when a research design and execution lead the researcher to *reject the null hypothesis when it is true* (i.e., failing to accept the null hypothesis when you should). A Type II error occurs when a research design and execution lead the researcher to *accept the null hypothesis when it is* false (i.e., failing to reject the null hypothesis when you should). The highest conventional Level of significance for rejecting the null hypothesis or accepting the alternate hypothesis, or the confidence level, is .05 which means that the researcher is confident that only 5 times out of 100 times the results observed would occur by chance. The converse is that 95 times out of 100 times the observed results will be due to true relationships among variables and not just by chance. The lower the level of chance the better so that confidence levels of .05, .04, .03, .02, or .01 are acceptable and consecutively better.

Designing the Research Study

In preparation for answering the research question(s) and testing the research hypothesis(es), the researcher has to decide what kind of research design she/

he wants to use and then design the study. The design of the study addresses the following issues:

- Are there a treatment and a control/comparison group(s)?
- What are the Independent and Dependent variables?
- How are members of the sample to be selected and assignment to treatment and control/comparison conditions?

An experimental or treatment group is a group that receives the intervention, treatment or program. A control group is a group that receives no intervention, treatment or program. A comparison group is a group that does not receive the same intervention, treatment or program as the experimental/ treatment group but may be exposed to some other intervention, treatment or program. In a research study, a variable is a factor that changes, is manipulated and that takes on different values. *Independent Variables* are the interventions, treatments, programs or other variables (gender, race, religious affiliation, etc.) that may affect the outcome or dependent variable(s). Dependent variables are variables that are affected by the intervention, treatment or program or other variable (gender, race, religious affiliation, etc.). Examples of dependent variables are: test scores; responses on an attitude survey; self-esteem.

Threats to Validity

Any research study, whose intent is to determine causality, should be designed as much as possible to reduce threats to the *internal validity* (ability to attribute observed effects to the intervention) and *external validity* (generalizability of results). The types of research studies that are mostly concerned with and that try to address threats to internal and external validity are *experimental* studies and *quasi-experimental* studies that include random selection and/or assignment and a control/comparison group. Sources of threat to internal validity include:

- Maturation: changes on outcomes due to natural changes in subjects over time
- History: changes on outcomes due to changes in related events over time
- Regression Toward the Mean: the tendency for extreme scores on an outcome measure to move toward the mean over time
- Practice: experience with the pretest may affect results on the posttest
- Fatigue: exhaustion may affect performance on the posttest

Types of Designs

Generally speaking there are three major types of designs. The weakest designs are referred to as pre-experimental designs, followed by stronger designs referred to as quasi experimental designs and then by the strongest set of designs referred to as true experimental designs.

Pre-experimental designs are designs that usually include one group with no control or comparison group. In a school setting, the group is typically an intact class e.g., a one or more sixth grade classes**.** There are a few pre-experimental designs**.** *One example is the Single Group Pretest and Posttest Design*. It includes a pretest and a posttest and subjects (participants in the study) are assigned to the treatment/intervention group. There is no comparison group. Each individual in the group is pretested. Each individual in the group receives the treatment or intervention. Each subject is then post-tested on the same outcome measure that was used for the pretest. This design is depicted as:

0 X O

*Quasi-experimental Designs***:** *members of the sample are not randomly assigned to treatment and control conditions.* Again, the group or groups are typically children within intact classrooms. This means that the two groups may not be equivalent on the measure of interest to begin with at the start of the study introducing internal validity concerns. There are several kinds of quasi-experimental designs. An example of a quasi-experimental design is the *non-randomized comparison design* that includes a treatment group and a comparison group usually both are intact classroom groups. It also includes a pretest and a posttest. Subjects (participants in the study) are not randomly selected or assigned to the treatment/intervention group or to the comparison group. Each individual in each group is pretested. The treatment group receives the treatment or intervention. The comparison group does not. All subjects in both groups are then post-tested on the same outcome measure that was used for the pretest or on an equivalent form. This design is depicted as:

0 X 0
0   0

True Experimental Designs are designs in which members of the sample in the study are randomly assignment to treatment and control conditions. Each member of the sample has an equal chance of being in the experimental group or the control group. There are a few true experimental designs. One example of a true experimental design is the Randomized Controlled Experimental Design. This design includes a treatment group and a control group. Subjects (participants in the study) are randomly assigned to the treatment/ intervention group or to the control group. Each individual in each group is pretested. The treatment group receives the treatment or intervention. The control group does not. All subjects in both groups are then post-tested on the same outcome measure (or an alternate equivalent form) that was used for the pretest. This is depicted as:

R 0 X 0
R 0   0

One may also look at designs in terms of how variables interact to affect other variables. Factorial designs are designs that allow the researcher to examine the effects of two or more independent variables on a dependent variable(s) at the same time. The effects of two or more independent variables at the same time are called "interaction effects." The effect of each independent variable separately is called "main effect." For example, the researcher may be interested in the effects of hours of homework on students' academic performance. The independent variables are gender and hours of homework. The main effects are the effects of gender separately and hours of homework separately on students' academic performance. The interaction effects are the effects of gender and hours of homework interacting together on students' academic performance. In this case the design is called a 4 x 2 factorial design in which there are four levels of hours of work and two levels of gender.

Selecting the Sample and Assigning to Treatment Conditions

The methods used to identify, select and assign samples to treatment or intervention conditions influence the extent to which the results of the study may be generalized beyond the sample to a larger population. The types of sampling strategies include:

- *Random Selection*: The sample is selected from the population (everyone in a defined group) using a random procedure such as a table of random numbers.
- *Non-Random Selection*: The sample is selected from the population (everyone in a defined group) using a non-random procedure such as with a convenient sample where anyone who is available is selected.
- *Random Assignment*: Members of the sample are assigned to treatment/ intervention or control conditions using a random procedure.
- *Non-Random Assignment*: Members of the sample are assigned to treatment conditions using a non-random procedure such as assigning to treatment/intervention or control conditions based on convenience or some determined characteristic.
- *Matched Sampling:* After random or non-random selection, members of the sample are matched on significant demographic variables or other and then randomly or non-randomly assignment to treatment/ intervention or control conditions.

- *Stratified Sampling:* When the intent is to make comparisons between naturally occurring groups Stratified sampling is employed**.** Members of the population being studied are categorized into groups or strata based on significant demographic or other variables.an equal number or certain percentage from within each category or stratification is selected for comparisons. When the intent is to create a sample that is proportionally. representative of the population, proportional stratified sampling is performed. Using this approach, strata are included in the sample in proportional to their representation in the population. Random or non-random selection and/or assignment can be done within each category or stratification while maintaining the proportional representation.

Data Sources and Collection Instruments

There are various ways to collect the data the researcher needs. Some of these include:

- *Questionnaire/Survey*: This usually includes questions that are put together in a systematic way to measure a variable of interest. Standards are set to help in the designing of the most useful and strongest questionnaires or surveys. These standards have to do with the reliability (consistency) and validity (extent to which the questionnaire or survey is accurately measuring the intended variable). When there is good reliability (.70 or higher) and validity the questionnaire or survey is said to have respectable psychometric data.
- *Test*: This usually includes questions that are put together in a systematic way designed to measure knowledge and understanding of specific content that is taught or to measure intelligence or aptitude (potential to perform). Standards are set to help in the designing of the most useful and strongest tests. These standards have to do with the reliability (consistency) and validity (extent to which the test is accurately measuring the intended variable). When there is good reliability (.70) and validity the test is said to have respectable *psychometric* data.

Instrument Selection and/or Development

It is important to carefully select or develop instruments that are used to collect data. The instrument (test, survey or questionnaire) that is used to collect data must meet conventionally accepted psychometric standards in terms of reliability and validity.

Reliability: This is a measure of consistency or stability of the instrument. Reliability is often expressed as a coefficient with the lowest acceptable coefficient being .70. If an instrument has a reliability coefficient lower than

.70 the instrument is said to be psychometrically weak. There are three basic kinds of reliability:

- Test-Retest
- Split-Half
- Internal Consistency

Test-Retest Reliability: An instrument is completed by a sample of individuals twice. The time between the first and second completion of the instrument should be long enough to allow for a reasonable measure of stability over time (maybe several weeks). Scores from the first completion are correlated with scores from the second completion to achieve a Pearson product-moment correlation coefficient (r). If r is .70 or higher, this is considered to have psychometrically acceptable test-retest reliability.

Split-Half Reliability: An instrument is completed by a sample of individuals.The instrument is then divided into two halves. Scores from the first half are correlated with scores from the second half to achieve a pearson moment correlation coefficient (r). If r is .70 or higher, this is considered to have psychometrically acceptable split-half reliability.

Internal Consistency Reliability: An instrument is completed by a sample of individuals. Using the responses to the items on the instrument, the researcher instructs the computer to conduct a procedure to determine the extent to which the items on the test appear to be consistent or cohesive as a set of items. The computer produces a statistic called Cronbach's alpha which takes the form of a coefficient. If alpha is .70 or higher, this is considered to have psychometrically acceptable internal consistency reliability.

Validity: This is a measure of the extent to which an instrument measures what it is intended, expected or supposed to measure. Validity is often expressed as a coefficient with the lowest acceptable coefficient being .70. If an instrument has a validity coefficient lower than .70 the instrument is said to be psychometrically weak. There are five basic kinds of validity:

- Face
- Content
- Concurrent
- Construct
- Predictive

Face Validity: An instrument is reviewed by a group of people (panel) before it is completed to determine if its format, readability level, length and general presentation seem appropriate for its intended purpose. Face validity is important from the perspective of not alienating or discouraging the individuals whom you would like to complete the instrument just based on its appearance.

Content Validity: An instrument is reviewed by a group of people (panel) to determine if the content of each item reflects the universe of content being measured and the intended purpose. Content validity is important from the perspective of not discouraging the individuals whom you would like to complete the instrument just based on the content of the items. It is also important in terms of getting useful data.

Concurrent Validity: An instrument is completed by a sample of individuals. Another more established instrument with strong reliability and validity coefficients is also completed by the sample. Using the responses on these two instruments, the researcher instructs the computer to conduct a procedure to determine the extent to which scores on the two instruments are correlated for the sample.. The computer produces a statistic which takes the form of a Pearson Product Moment Correlation coefficient (r). In many situations if r is .70 or higher, this is considered to have psychometrically acceptable concurrent validity.

Construct Validity: An instrument is completed by a sample of individuals. Using the responses to the items on the instrument, the researcher instructs the computer to conduct a procedure called factor analysis to determine the extent to which scores on the items tend to cluster together and form constructs, subtests or factors. Each cluster of items (construct, subtest, factor) is given a name or label based on what the cluster seems to measure. Reliability coefficients can be computed for each cluster of items (construct, subtest, factor).

Predictive Validity: An instrument is completed by a sample of individuals. At a later date another measure which serves as a criterion measure is also completed by the sample. Using scores on the instrument and scores on the criterion measure, the researcher instructs the computer to conduct a procedure to determine the extent to which these scores are correlated for the sample. The computer produces a statistic which takes the form of a Pearson moment correlation coefficient (r). If r is .70 or higher, this is considered to have psychometrically acceptable predictive validity. The instrument is said to be a good predictor of the criterion measure.

Analyzing the Data

There are two major types of data analysis procedures. These are: *Descriptive Analysis* and *Inferential Analysis.*

Descriptive analysis enables the researcher to present basic statistical descriptions of variables. These include: (1) *frequency counts* including the *mode* for categorical or discrete data which are data for which there are mutually exclusive responses such as gender, race, color, yes or no responses. (2) *means, medians and standard deviation, and range* for continuous or interval data such as scores on test, scores on a questionnaire, test or demographic data such as age. The *median* is the score in the middle of a distribution of scores. The *mean* is the average of the scores derived from summing up all of the scores and dividing by the number of scores that were summed. The *standard deviation* is the extent to which scores on the measure vary from person to person around the mean score. It is derived by subtracting the mean from each person's raw score, squaring the difference, summing up the differences, dividing by the number of scores (N) and finding the square root. The *range* is the difference between the highest score and the lowest score in a distribution of scores.

Inferential analysis enables the researcher to test hypotheses, draw conclusions and make inferences. Several types of inferential analyses are described here:

- *Chi-square test of independence*: This procedure is used with frequency counts on categorical or discrete data. The chi-square helps to determine if two or more categorical variables such as cultural identity and preferred learning style are related.
- *Correlational Analysis* enables the researcher to determine if there is a significant correlational relationship between two sets of scores. That is whether or not change in one measure or variable accompanies change in the other measure or variable. The Pearson product moment correlation coefficient (r) is the statistic that is used. The correlational relationship may be positive or negative. A perfect positive correlation is $r = +1$. A perfect negative correlation is $r = -1$. Correlation coefficients can fall anywhere between $r = -1$ and $r = +1$.
- *Multiple Regression Analysis*: Enables the researcher to determine if there is a significant multiple correlational relationship among three or more variables where one variable is the criterion or predicted variable and the other variables are the predictor variables. *The multiple regression coefficient (R)* is the statistic that is used. It indicates to what degree changes in the predictor variables are accompanied by change in the criterion or

predicted variable. R squared tells how much fluctuation in the criterion variable is accounted for by fluctuation in the predictor variables. For example if R = .5, then R squared = .25. This means that 25% of the variability or fluctuation in the criterion variable may be accounted for by variability or fluctuation in the predictor variables.

- *T-Test* enables the researcher to determine if there is a significant difference between the mean scores of two groups on an outcome measure.
- *Analysis of Variance (ANOVA)* enables the researcher to determine if there is a significant difference among the mean scores of three or more groups on an outcome measure
- *Multivariate Analysis of Variance (MANOVA)* enables the researcher to determine if there is a significant difference between the mean scores of three or more groups on two or more outcome measures or dependent variables at the same time
- *Analysis of Co-Variance (ANCOVA)* enables the researcher to determine if there is a significant difference between the mean scores of three or more groups on the posttest of an outcome measure or dependent variable while controlling for pretest differences
- *Multivariate Analysis of Covariance (MANCOVA)* enables the researcher to determine if there is a significant difference between the mean scores of three or more groups on the posttests of two or more outcome measures or dependent variables at the same time while controlling for pretest differences on those measures.
- Post Hoc Analyses enable the researcher to determine which pairs of means are contributing to a finding of significant difference when a main effect for three or more variables are observed or stated another way, when three or more means are compared. If for example, the researcher finds that there is a significant main effect among three middle schools: School A, School B and School C on a school climate measure (mean differences on school climate with N = number of students completing the survey) the post hoc analysis allows the researcher to determine between which pairs of means, one mean is significantly different from the other. Two types of frequently used post hoc tests are Scheffe and Tukey. When a second variable, such as gender of students completing the school climate survey is introduced in our example, a factorial analysis is required to examine not just school main effect but also interaction between school and gender of students the post hoc test allows the researcher to compare pairs of cell means to account for significant interaction effects.
- Effect size is defined as the proportion of variance accounted for by the treatment, or the difference between a treatment and control group measured in standard deviation units referred to as Cohen’s d. While there are different effect sizes for different statistical methods, Cohen’s d is one of the most often used. The purpose of using standard deviation units is to

produce a measure that is independent of the metric used in the original dependent measure. Thus we can discuss universal effect sizes regardless of whether we are measuring school grades, days absent or self-esteem scores (Bickman & Rog, p. 20). In computing Cohen's d the researcher subtracts the mean of the control group from the mean of the treatment group and then divides the difference by the pooled or combined standard deviations of the two groups (Bickman & Rog, p. 20). Most statistical packages including the Statistical Package for the Social Sciences (SPSS) would calculate effect sizes if requested.

QUALITATIVE

With qualitative research the data that are used to answer a research question or to address an issue in practice are unquantified contextual information including: comments or statements made by participants in the research, observations, videotaped segments or visual representations. The school leader relies on such data as observational notes, responses on surveys that are usually comments or opinions or responses to interview and focus group questions. When qualitative measures are used, the educational leader is frequently seeking to garner the impressions and perceptions of key stakeholders including: students, staff and parents about an intervention, about the climate of the school and ways to improve the functioning of the school. Qualitative data may also be used to gauge progress in the school's program and climate by examining change in the narrative data, that is, in the flavor and texture of the comments and opinions of stakeholders (Creswell, 2012).

Data Sources and Data Collection Procedures

In qualitative research as in quantitative, the researcher is guided by the purpose of the research study and the research question(s) being addressed. The data are collected using a variety of tools and approaches. These include: *Interviews, Focus Groups, Observations, Archival or Document Reviews.*

- *Interview*: The interview is most often used to collect qualitative data. Many times a structured interview is used which involves the preparation of an interview protocol with standard questions that are asked to all interviewees. Interviews may be conducted in person, by telephone or online. An advantage of the interview is that it allows for the interviewer to probe and ask follow-up questions and for the interviewee to elaborate and clarify responses.
- *Focus Group*: The focus group is most often used to collect qualitative data. The Focus group may be considered as a group interview. Many times a structured focus group format is used which involves the prepara-

tion of a focus group protocol with standard questions that are asked to all focus group members. Focus groups may be conducted in person, by telephone or by computer. Because attention is paid to verbal and non-verbal interactions as well as to the content of responses, the best format for a focus group is direct contact. An advantage of the focus group like the interview is that it allows for the interviewer to probe and ask follow-up questions and for the focus group members to elaborate and clarify responses.

- *Observation*: This involves the researcher/evaluator directly monitoring and recording behavior. The recorded behaviors constitute the data for analysis. Usually there is a standard observation protocol which indicates what to look for and how to score or rate behaviors that are observed.
- *Archival/Document Review*: This involves the researcher identifying, reviewing and analyzing written records, reports and other documents related to the topic of research.

Qualitative Design Strategies and Approaches

The data collection procedures identified above apply singly or in combination to the qualitative design strategies discussed here. There are several qualitative design strategies that are used in qualitative studies. These are:

- Ethnography
- Case Study
- Comparative Case Study
- Phenomenological Study
- Grounded Theory
- Action Research
- Collaborative Action Research

Ethnography is the study of an identified group or community of individuals in that group's or community's natural environment. The ethnographer documents the way members of the group or community live, communicate, and interact in their natural environment. Ethnography is often conducted over an extended period of time to provide a comprehensive understanding of the culture and organization of a community. The following are identified as key elements of ethnographic research:

- Preparatory Research: ethnographer uses archival sources to prepare for visit to the community being studied.
- Participant Observation: the ethnographer spends a significant amount of time interacting with the members of the community in their environment.

- Interviews and Focus Groups: the ethnographer conducts face-to-face interviewing of individual members of the community or focus groups with several members of the community together.
- *Perspective is Emic* (folk or inside) and *Etic* (analytic or outside): The ethnographer provides perspectives as an insider to the community and also provides an analytical or outside perspective.
- Detailed Description: ethnographer provides detailed information on the community being studied.
- Interpretive Presentation: ethnographer determines importance or significance of the information (Carspecken, 1996).

Case Study is an intensive analysis of an individual unit (e.g., a person, group, or event) with a focus on some specific factor or phenomenon that the subject of the case study represents. Thomas, (2011) described case studies as the holistic examination of individuals, events, situations, organizations or systems, using different methods. The specific case under consideration is a representation the phenomenon of interest. The case study sheds light on the phenomenon. There are several types of case studies:

- *Illustrative Case Study*: is a descriptive account of the main characteristics of a real world example to clarify an idea or reinforce an argument.
- *Exploratory Case Study:* Attempts to understand what happened within a case by looking beyond descriptive features and studying surround context.
- *Explanatory Case Study:* Attempts to explain why certain behaviors occurred by determining causes and effects.
- *Implementation Case Study:* Focuses on the change management aspects of putting a practice into effect within the workplace. Here the scrutiny is placed on each major stage of the process, not necessarily the long-term outcome.
- *Success Case Study*: Looks at those practices that have proven successful in terms of outcomes. Involves isolating success factors and likely causes of failure.
- *Failure Case Study*: Looks at situation where things went wrong with the intention of generating ideas about the practices that could have been implemented to prevent problems from happening or make recommendations for recovery.
- *Comparative Case Study:* Involves conducting at least two individual case studies and comparing the essential findings (Yin, 2002).

Phenomenological Research is conducted to understand how specific events are perceived and experienced by those who are involved in experiencing those events. Results help the researcher to gain insights into the motivations and actions of individuals or groups.

Creswell (2013) described a phenomenological study as examining and probing how a phenomenon is experiences and interpreted as meaningful for an individual. Polkinghorne (1989) noted that phenomenology explores the structures of consciousness in human experiences. In conducting a phenomenological study, the researcher: prepares research questions that explore the meaning of lived experiences for individuals, and asks individuals to describe these experiences, collects data, typically via long interviews, from individuals who have experienced the phenomenon under investigation, conducts data analysis using horizontalization (i.e., extracting significant statements from transcribed interviews),transforms the significant statements into clusters of meanings according to how each statement falls under specific psychological and phenomenological concepts.

Grounded Theory (Thomas & James, 2006; Simmons, 2011) attempts to understand the theoretical principles that explain or elucidate the phenomenon under study. The goal is to determine the theory that may be implied in the data. The researcher observes and studies the phenomenon and inductively generates a theory through an intense process of qualitative data analysis. Grounded theory is said to differ from other qualitative approaches in that it is seen as an inductive process or "emergent." The key procedures involve data collection, note taking, coding, sorting, memoing and writing.

Action Research (Johnson, 2004) is a research-based process in which participants use formative and outcome data to systematically examine, modify and improve their practices. Action research is conducted most often in educational settings but can be applied in a variety of other settings as well. It is a reflective process that allows for inquiry and discussion among participants who are searching for ways to improve professional practice. Educators often use the action research process to help improve Instruction and increase student achievement. Action research key features include the following:

- Educators including teachers and principals work best on problems they have identified for themselves.
- Educators practice more effectively when they examine, assess and modify or change their own work.
- Educators enhance their own practices and that of colleagues when they work collaboratively.
- Working collaboratively with colleagues helps educators with their own professional development.

The types of action research include:

- Individual teacher in which a teacher investigates how to improve teaching and learning in his or her classroom.
- Collaborative in which a group of teachers work on a common problem.
- School-Wide in which a team of teachers and others investigate ways to improve the social and academic climate of the school and increase student achievement.
- District-wide in which district level and school level personnel investigate ways to improve the climate and academic achievement across schools in the district.

Individual Teacher Action Research

- The interest is usually focused on an instructional or other issue in a classroom.
- The teacher may need to explore solutions to problems related to student engagement and learning, Classroom management or instruction.
- The problem is one that the teacher believes is evident in his or her classroom and one that can be addressed on an individual basis.
- To address the issues of interest and concern the teacher systematically collects data
- The teacher uses the data to inform adjustments instruction and other classroom practices.

Collaborative Action Research

- Several staff including classroom teachers work together to address an issue or problem
- The size of the collaborative working group may range from two individuals to as many as needed and indicated.
- The issue or problem may be of concern in one classroom or in several classrooms.
- Others outside of the school may serve as partners and may be involved in supporting the school staff in addressing the issues and problems.

School-Wide Action Research

- Focuses on issues that are of interest and importance to the school community as a whole.
- Teams of staff members work collaboratively to clarify and narrow the question, to collect and analyze the data, and to decide on a plan of action.

- A concrete example of action research for a school may be to examine the school's state test scores, to identify areas that need improvement, and then determine a plan of action to improve student performance.
- Team work and individual contributions to the whole are very important. As the process unfolds, problem points and challenges may arise that would regard problem solving and consensus building.
- When the challenges are addressed, obstacles overcome and a plan is developed in put in place, members of staff derive a sense of ownership and accomplishment and a renewed confidence in school-wide collaboration.

District-Wide Action Research

- Issues of interest occur at several levels across a district, at the central office level or involving several schools. These issues may concern policy decisions, curriculum, programs, organizational challenges or student achievement.
- A district may choose to address a problem common to several schools or one of organizational management.
- Involves representative participation in problem identification, brainstorming, and collaborative decision making among stakeholders including: school-board members, central office staff, school level staff, parents, community leaders, local government representatives.

There are several basic steps to be followed when conducting action research. These include:

- Identify a problem (learning outcomes, grades, consistent errors, etc.).
- Review and collect current research on the problem.
- Formulate a question or questions to be answered.
- Devise a plan or course of action to overcome or test the problem.
- Execute the plan.
- Collect and interpret data.
- Act on data (revise course, instruction, materials).
- Share with others (departmental meeting, publication, conference).

The educational leader would most likely collect qualitative data such as interviews with teachers or students to gather their opinions on an issue such as how students view teaching and learning at school and then may collect quantitative data such as test scores to examine and explore some of the points raised. An action research graphic designed by the first author is offered in Figure 10.1.

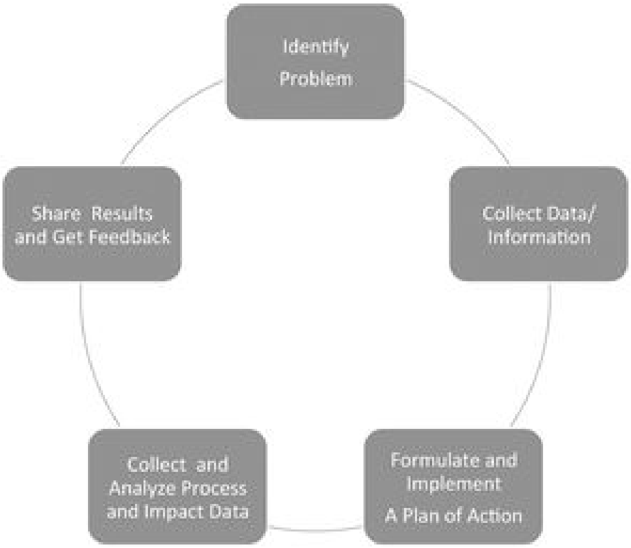
Identify Problem
Collect Data/ Information
Formulate and Implement A Plan of Action
Collect and Analyze Process and Impact Data
Share Results and Get Feedback

Figure 10.1. Action Research Design.

MIXED RESEARCH DESIGNS

Mixed research designs involve the careful, purposeful and strategic use of both quantitative data and qualitative data. There are two basic ways to approach how a mixed method is used. The first way is sequentially which means that qualitative and quantitative data are collected in phases, phase one and phase two. If quantitative data are collected first followed by qualitative data the approach is said to be an explanatory sequential approach. This is so because the educational leader would most likely collect quantitative data such as test scores first and then may use qualitative data such as interviews with teachers or students to help to explain and understand the factors that may have caused the observed test scores. If qualitative data are collected first followed by quantitative data the approach is said to be an exploratory sequential approach.

Therefore mixed methods merge rigorous quantitative and qualitative methods to provide a deeper understanding of rich and complex areas of research. Mixed methods studies are designed to capitalize on the strengths of both quantitative and qualitative research and integrate them, balancing the inherent weaknesses in each. Early research methods students bring with them a patchwork approach to mixed methods, they try to slap a qualitative and quantitative technique together and call it mixed methods. A true mixed methods study has a sound design from the conception of the study and findings are integrated, not just presented side by side.

Not too many years ago, one of the coauthors of this chapter, served as a second reader on a dissertation committee where the student planned a quantitative study. Months went by and the student was struggling with data collection. The sample was just too small to make any generalizations. The sponsor of the student suggested that he add a qualitative component, and use the interview data to supplement the quantitative data. This post hoc mixing of methods is not ideal. The research questions had to be changed to justify the addition of qualitative analyses and the student had to research qualitative techniques for analyzing his new data. Looking back, the committee could have helped the student anticipate a small sample (it was reasonable that he would have a low return rate for his chosen population) and have helped him plan a more rigorous mixed methods approach.

A strong mixed methods approach frames the research questions within the characteristics of a qualitative style and seeks to use recognized approaches to analyzing numerical and narrative data. The research questions have a single focus. This is another common misinterpretation of a mixed methods study. The researcher will pose several research questions that are loosely tied together, and do not center on one idea. This lack of initial focus, connected with the variety of data presented and data analysis procedures create a maelstrom in the findings, unlikely to result in strong conclusions.

While the research questions are written in a more qualitative style, the quantitative aspects of mixed methods are not less important to the research. They provide the generalizability that is often lacking in qualitative approaches. Both aspects of the mixed methods study require detailed descriptions of the methods and rigorous data collection procedures. Frequently, a mixed methods study will include a diagram of the research components and a description of the overall design in addition to the descriptions of the quantitative and qualitative methods used.

The graphical representation of the mixed method approach indicates not only when the different types of data will be collected, concurrent or sequential, but also at which point the data are integrated (Figures 10.2–10.6). Not all mixed methods designs include an equal emphasis on the qualitative and quantitative. Both sequential and concurrent strategies, either data collection approach may be emphasized, or they may be treated equally. This is generally indicated by emphasis in bold or capitalization in the diagram (Figures 10.5 & 10.6). In an embedded strategy, one data collection approach is emphasized and the other approach is nested within that larger framework (Figures 10.3 & 10.4).

The diagrams in Figures 10.2 to 10.6 represent different mixed methods designs, each of which is guided by the purpose of the research. A sequential exploratory design (Figure 10.5) is used to test elements of a theory, or generalize qualitative findings to a different sample. This design is also used in instrument development. Sequential explanatory designs (Figures 10.2 &

10.6) aim to use qualitative findings to explain quantitative results, for example using a follow up interview to investigate unexpected results or chosen results in more detail. Both of these sequential techniques are time consuming, as the analysis of one phase must be completed before data collection for the next phase may begin. It is also important to note that institutional review board approval for each section may be granted separately, adding to the time required for the study.

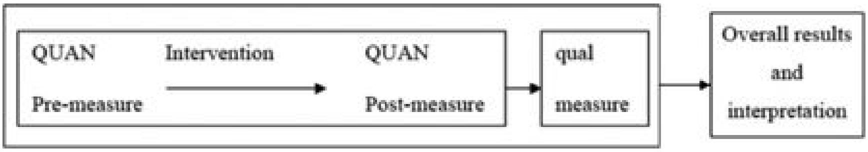

Figure 10.2. Sequential, explanatory, mixed method, pre-post design diagram with emphasis on the quantitative (QUAN) phase.

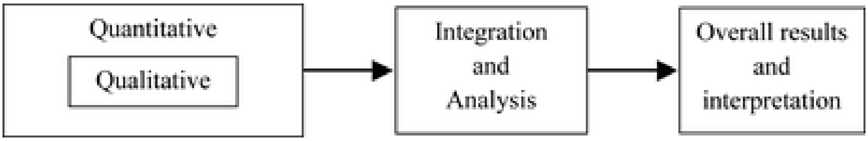

Figure 10.3. Nested, concurrent, mixed method design diagram with emphasis on the quantitative (QUAN) phase.

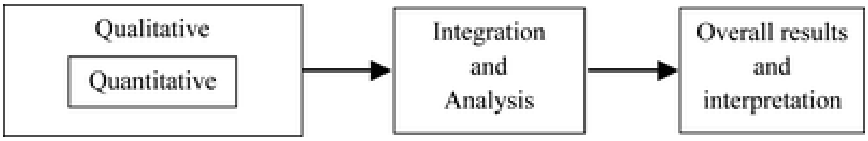

Figure 10.4. Nested, concurrent, mixed method design diagram with emphasis on the qualitative (QUAL) phase.

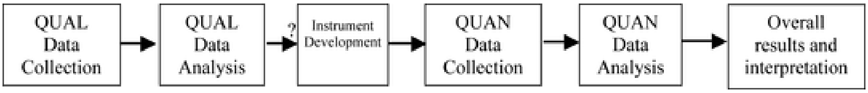

Figure 10.5. Sequential, exploratory, mixed method design diagram with equal emphasis on the quantitative (QUAN) and qualitative (QUAL) phases.

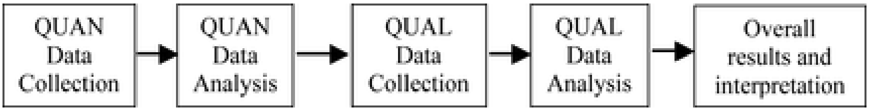

Figure 10.6. Sequential, explanatory, mixed method design diagram with equal emphasis on the quantitative (QUAN) and qualitative (QUAL) phases.

Concurrent approaches (Figures 10.3 & 10.4) reduce the time required for data collection and analysis, because the research is not in sequential phases, but requires the researcher to be sophisticated enough to employ two different approaches simultaneously.

The concurrent technique permits triangulation of results, to confirm or cross-validate findings. Because the researcher does not have the ability to adjust the data collection methods based on the findings, it may be difficult to resolve discrepancies in the data if they exist. A nested strategy is also a concurrent design (Figures 10.3 & 10.4), and is subject to similar challenges as other concurrent designs. Because one approach is nested within the other, the data must be transformed to be integrated into the analysis. Creswell (2003) described the nested strategy as featuring a subordinate method to address a secondary research question.

In any of the mixed methods research designs, the tenets of reliability and validity still hold true. "Validity stems more from appropriateness, thoroughness and effectiveness with which those methods are applied and the care given to thoughtful weighing of evidence than from the application of a particular set of rules or adherence to an established tradition" (Bazely, 2004). While each method compliments the other, and ameliorates weaknesses in the other, using multiple methods does not compensate for a lack of methodological rigor.

Beyond the increased methodological knowledge requirement, a mixed method approach requires the researcher to understand and interpret results from the different methods and identify nuanced differences and similarities in the various analyses. The researcher using mixed methods must accept any methodological prejudices that may have developed from prior training or research and release them so that each method can be appreciated for its strengths and weaknesses. Finally the researcher must understand and respect the prior work that has been conducted, evaluating for which audience a mixed methods approach will be acceptable. The use of a mixed methods approach is a purposeful choice and the requirements of sound mixed methods research indicate that it is not appropriate in every situation.

SUMMARY

The educational leader should be familiar with research terminology and methodology to be able to understand the merits of evidenced based educational practices. Educational practice is replete with studies that generate knowledge and insights about student learning, teaching, classroom management and school leadership. With a workable understanding of the different types of research, how data are collected and analyzed and the inferences and conclusions that may be drawn from research studies the educational leader can assess the strength and weaknesses of various evidence-based practices. While the three types of research studies discussed in this chapter serve different purposes and are designed to address different types of research questions, it is clear that in addition to important methodological differences, there are some very important overlapping methodological similarities and combinations of data management and methodological procedures.

TEACHING APPROACHES

When the authors teach research to educational leaders in training, the research courses are designed to examine, quantitative, qualitative and mixed methods used in social science research, covering such quantitative studies (experimental, quasi-experimental, correlational) qualitative studies (ethnography, phenomenology, case study, and action research) and mixed design studies (sequential explanatory, sequential exploratory, concurrent). Learning about different types of research provides students with knowledge on how to collect reliable and valid data including rich contextual information that is essential to the meaningful analysis and interpretation of data. Students learn how to apply appropriate data collection methods including: questionnaires, surveys, tests, participant observation protocols, semi-structured, structured and open-ended interviews, focus groups and document reviews.

Students also learn about quantitative and qualitative software programs such as SPSS, AtlasTi, NVivo, and Weft QDA, which help with the analysis of data. Students are expected to be knowledgeable about research ethical standards including human subject protection requirements and processes. They are guided through the Institutional Review Board (IRB) process which is the formal institutional approval process for approving research studies. It is designed to ensure that research studies meet the highest standards of ethics in research, including the protection of rights and safety of research study participants. All students are expected to take and pass the NIH human subjects online certification exam prior to beginning data collection and to produce for the instructor's perusal a copy of their human subject's protection certificate. Students do not get the professor's approval to proceed with data collection until they have received IRB approval and a copy of their NIH certificate is produced. Students are guided to conduct research that leads to the completion of a study that addresses an area of interest with practical implications for educational leadership.

APPLIED RESEARCH IN LEADERSHIP EXAMPLE

Educational Leaders benefit from knowing and understanding research approaches and methods in several ways. They themselves may conduct research to address questions of interest and problems of practice in their schools or school districts. By having knowledge and understanding of various research approaches and design strategies within approaches as those discussed in this chapter they can design and conduct their own research studies. However, we are quite aware that educational leaders do not often have the time to themselves conduct research and may encourage and support their staff to engage in action research to identify and implement plausible alternatives to address problems of practice. This requires knowledge and understanding of action research, how it is implemented and how the results are applied.

There are some problems of practice and research issues of interest to educational leaders that action research may not address and for which leaders may need to rely on other approaches and design strategies. Not being able to conduct these studies themselves, educational leaders may rely on results of studies in the literature to inform their understanding of phenomena related to problems of practice. Review of meta-analytic studies that examine and analyze clusters of studies related to a problem of practice offers the leader an excellent way to become informed about the issue. However, in order to benefit from studies that report on meta-analyses the educational leader must know and understand research methods and be able to evaluate the results to determine the merits of conclusions that authors of these studies might draw. It is important to note that the value of conducting a review of the literature is not limited to studies that address meta-analyses. The educational leader may benefit from reviewing single studies

Another approach that the educational leader may take in applying educational research might be to invite experienced researchers to conduct research related to a problem of practice in the school or school district. Often colleges and universities provide research support to schools and school districts through university sponsored faculty research, student projects, theses and dissertations. These research activities are guided, monitored and supervised by qualified and experienced faculty and overseen by the university's Institutional Review Board (IRB) that ensures proper protection of human subjects.

For example, an educational leader in a high school was concerned about the widening performance gap between males and females at each grade level in the school. He discussed the issue with the faculty at a local university with whom the school had a close reciprocal professional development relationship. The university faculty and some university students (research team) decided to use a mixed method approach with an exploratory design strategy. They conducted focus groups with a stratified random sample of students, stratified based on gender and grade level and with a convenience sample of staff, stratified by department. They conducted interviews with members of the administration. Based on the focus groups and interviews the research team formulated hypotheses about the widening gender performance gap. The focus groups and interviews constituted qualitative approach data collection methods.

Formulating and testing the hypotheses constituted the quantitative aspect of the mixed method approach. They hypothesized that there were two areas that seemed to be contributing to the performance gap. The hypothesized contributing factors included (1) differences in the study and information processing strategies that were used by males and females in their classes (2) differences in perceived supportiveness and respect in climate of the school. To explore these hypothesized contributors to the gender performance differences, the research team administered school climate surveys and the Learning and Study Strategies Inventory (LASSI) to the randomly selected student sample stratified by gender and grade level and administered only the school climate survey to the convenience sample of staff.

The team conducted two major kinds of quantitative analyses, a 2x4 factorial multivariate analysis with gender (male and female) and grade level (9th, 10th, 11th & 12th) as independent variables and scores on the school climate factors and LASSI factors as dependent variables. They found significant gender differences on many of the school climate and LASSI factors. They conduced regression analyses and found that the school climate and LASSI factors were also significantly related to students' quality point averages (QPAs.) The results supported the hypotheses. The school used the results to address school climate and study strategy issues among all students and especially among the male students.

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Chapter Eleven

Orienting Leaders to Program Evaluation

Norris M. Haynes

CONDUCTING PROGRAM EVALUATION

This chapter discusses the importance of program evaluation in educational leadership practice as an accountability imperative, and shares a case study of the application of program evaluation in determining the quality of implementation of a systemic school improvement program and the program's outcomes. Program Evaluation is the application of research methods to determine the value or worth of a program. It involves the following:

- Asking questions about the process and outcomes of a program or intervention;
- Deciding on how to structure or organize an investigation or study to answer the questions;
- Identifying sources of information/data to address the questions;
- Identifying or devising ways to collect the in information or data;
- Collecting information/data to answer the questions; and
- Analyzing the information/data to decide on the answers to the questions.

Program evaluation is viewed in many different ways. Some authors identify two broad types of evaluation: formative and summative evaluation. Formative evaluation is concerned with monitoring and making needed modifications in a program's design and implementation while it is being implemented on a relatively small scale before the program goes to full scale implementation. Summative evaluation is concerned with measuring the short-term and longer term effects of a program after the program has been formatively evaluated and it is implemented at full scale (Wall, 1994). Other authors emphasize the importance of assessing a program not just formatively, but also in terms of the fidelity and integrity of implementation once the program is being fully implemented following the formative evaluation phase. They also emphasize the importance of looking at program outcomes and linking outcomes to program implementation (Durlak & Wells, 1997).

The importance of strong, well conducted program evaluations in making decisions about program choice, implementation quality and program outcomes is extensively and well documented (Boudett, Parker & Murnane, 2008; Hess, 2008–2009; Joint Committee on Standards for Educational Evaluation. 2010; Sundra, Scherer & Anderson, 2003; Wall, 1994). Many schools and school systems, like many organizations in general, adopt and implement programs without clearly explaining how to monitor and assess the fidelity with which such programs are implemented (Durlak & Wells, 1997). Both program implementation fidelity and program outcomes data are important to educational leaders as decision-makers. They make a variety of important decisions that affect the lives of students and faculty several times during the course of any given day. Their decision-making occurs on a number of levels: school-wide, departmental (for middle and high schools), classroom, teaching and non-teaching staff, and individual students. These decisions often involve issues that affect policies and procedures, school organization, school culture, context and climate including inter-personal relationships, curriculum and instruction, programs, personnel and external relationships with organizations and agencies with which the school interfaces. These decisions, when well made, are informed by different kinds of data depending on the decision to be made and the data needs that will best inform a given decision.

All decisions regardless of the nature of a decision to be made, and the data that may inform and drive a decision, require that the educational leader be able to frame the evaluation question(s), design the evaluation study, collect, analyze, interpret, understand and use the evaluation data. In today's climate of accountability, policy demands, shifting educational priorities, dynamic student and staff assessment paradigms and complex interlocking socio-educational factors impacting student achievement, educational leaders must be equipped as evaluators to make the best possible decisions. The questions that educational leaders must address in making decisions include: What data do I need to make the most informed decisions? How do I get the needed data? How do I analyze the data or whom do I get to help me analyze the data? How do I interpret the results in a meaningful and most helpful way? How do I use the results to make the best decision?

In addressing these questions effectively educational leaders are in effect demonstrating their capabilities to plan for evaluation in solving problems, implementing programmatic steps based on generated preliminary needs assessment data, monitor, assess and modify if necessary the implementation of the chosen intervention and assess results of any intervention leading to data-based decision-making (Coghlan & Brannick, 2005; Marzano, Waters, & McNulty, 2008; Stringer, 2004). In this chapter, the author suggests four important steps for educational leaders to follow in conducting program evaluations when faced with making decisions about if, how and when to implement or continue implementing programs. These steps are as follows:

1. Prepare a logic model
2. Conduct a formative evaluation
3. Conduct an implementation assessment
4. Conduct an outcome assessment
5. Connect outcomes to implementation

Prepare Logic Model

Educational leaders can use Logic models to help plan program evaluations. Logic models help to assist in clarifying the hypothesized relationships among program components, including program resources and activities and program short-term (proximal) and longer-term (distal) outcomes. The logic model is a graphic visual representation of these hypothesized relationships. Lawton, Brandon, Cicchinelli and Kekahio, (2014) noted that: "educators can use these representations (logic models) to plan evaluations, monitor the implementation of program activities, and determine the extent to which programs have their intended effects. Logic models also guide evaluators in determining how well evaluation questions are being addressed" (p. 1).

Conduct Formative Evaluation

Educational Leaders who are adopting educational programs for the first time should consider having a formative evaluation and a pilot study conducted to determine program strengths and weaknesses, make program adjustments to improve program strength and to monitor a preliminary program (Worthen & Saunders, 1989). A Formative evaluation is viewed by some as an early, preliminary modifiable version of the full and final evaluation (Scriven, 1991).

Conduct Implementation Assessment

Following a formative assessment, educational leaders are encouraged to conduct a program implementation assessment as a critical part of a strong robust program evaluation (Wall, 1994). The implementation assessment enables educational leaders to focus on how faithfully and how well an intervention or program has been implemented before examining program outcomes. It concerns collecting data to assess program implementation fidelity and program implementation integrity. Program integrity is extremely essential to determining program impact and to drawing conclusions and making decisions about program effectiveness.

Five main dimensions of program integrity have been identified. These dimensions are: *Adherence, Dosage, Quality of Delivery, Participant Responsiveness,* and *Program Differentiation*. *Adherence* is concerned with how closely the actual implementation of a program matches the implementation design and expectations. *Dosage* refers to the quantity and quality of program components or elements to which program participants are exposed. *Quality of Delivery* is concerned with the mechanisms and manner used to transmit specific program services to program participants. *Participant Responsiveness* addresses the level of participants' investment and engagement in the program. *Program Differentiation* refers to disaggregation of program components to discern the relative contribution of each program component to program outcomes components in order to ascertain their unique contributions to the outcomes (Dane and Schneider, 1998; Dusenbury, Brannigan, Falco, & Hansen, 2003; Domitrovich & Greenberg, 2000). In the case example discussed later in this chapter these five main dimensions of program implementation fidelity are addressed.

When an implementation assessment is done well the results of the outcome assessment may be much more believable and reliable because one can make the case that the program or intervention was implemented in the way it was intended to be or should be implemented. Some questions that may be asked in a formative evaluation include:

- Is there a clear articulation of the design of the program?
- Are the goals, process benchmarks and expected outcomes of the program clear?
- Are the expected components of the program in place?
- How well are these components being implemented?
- Are the human, time and material resources needed to implement the program available and being adequately used?
- Is the program being implemented within timeframes specified in the program design?
- Is there a feedback process for incorporating findings on implementation into programmatic changes?

Educational leaders must be aware of the strengths and weaknesses of the implementation of programs that they design or adopt in their schools. They must be concerned with whether a program is being implemented in a manner that is consistent with expectations and if not, why not and how they can make the implementation of the program better and stronger. Far too often educational leaders, as are others, are insufficiently concerned with and informed about assessing implementation quality. They jump straight to summative evaluation increasing the likelihood that the results of the outcome evaluation may not be valid or reliable and that their conclusions are in appropriate and misleading.

Conduct Outcomes Assessment and Connect Outcomes to Program

Most educational leaders pay more attention to conducting program assessments than to implementation assessments. This is so because leadership performance tends to be judged mostly by outcomes than by program implementation quality. An outcome assessment examines the extent to which the programmatic activities and interventions achieve expected as well as unexpected results. It is focused on changes or lack of changes that result from the implementation of the program. Increased calls for educational accountability make outcome assessments even more critical than they may have been thought to be decades ago. Guskey (1998) noted:

> For many years, educators have operated under the premise that professional development is good by definition, and therefore more is always better. If you want to improve your professional development program, the thinking goes, simply add a day or two. Today, however, we live in an age of accountability. Students are expected to meet higher standards, teachers are held accountable for student results, and professional developers are asked to show that what they do really matters (p. 1).

AN EVALUATION CASE EXAMPLE: THE YALE UNIVERSITY SCHOOL DEVELOPMENT PROGRAM[1]

Background

In this case example, the author demonstrates how the school leaders at the district and school levels in a selected school district, in collaboration with the research team at the Yale Comer School Development Program (SDP), conducted a systemic evaluation of the implementation and outcomes of the SDP following the steps outlined by the author for educational leaders in conducting a program evaluation. The SDP research team at the Yale child study Center was headed by this author who at the time served as the SDP's director of research and evaluation. It was clear at the time of the evaluation that myriad forces significantly impact the quality of program implementation and influence the outcomes of school reform initiatives, particularly one as comprehensive and ecological as the Yale Comer School Development Program.

From the start, a key feature of the School Development Program (SDP) was that it is a data-driven school improvement process. Consistent, careful, and clear documentation of the *process* of SDP implementation in schools and of the *impact* of implementation provides us with a continued sense of purposeful direction. Measuring program outcomes, such as improved student performance on standardized tests, is meaningless unless there is a commensurate assessment of the level and quality of program implementation. The documentation of the SDP process and of its impact was always regarded as a collaborative effort between schools and SDP staff at the Yale Child Study Center.

The purpose of the SDP program evaluation was threefold: (1) to provide formative and process implementation data to improve and strengthen program implementation; (2) to provide measures of program impact on salient outcome variables, including those identified in Comprehensive School Plan goal statements; (3) to contribute to the theory and understanding of how schools change and how students succeed. Included in the formative process was the *needs assessment,* the purpose of which was to show the current state of the school and to collect baseline data that become the comparison points for future changes. *Formative assessment* provided continuous feedback for improvement and took place at several levels: school, district, and SDP national office at the Yale Child Study Center. Implementation assessment allowed us to examine variation in implementation among districts and schools and to be able to relate implementation integrity to outcomes. *Summative assessments* served as benchmarks of progress and did not imply finality. Theory building, although not the primary purpose of the SDP evaluation process, was an important aspect of it. Although the SDP has had a strong theoretical-conceptual base, it was my opinion that the theoretical-conceptual base had to be regularly tested for its continued validity, and for refinement and enhancement. Knowledge is not static. As we studied school reform through implementation, we increased our knowledge of how change takes place and is sustained, about the nature and development of human beings, and about the role of relationships in human development and organizational change.

As noted earlier there has been for some time increasing awareness among educators and evaluators that the most useful evaluation approach is one that stresses the quality of implementation, and that is also guided by a theory of change which frames the evaluation design. The SDP theory of change was reflected in the logic model that was used to guide the evaluation. The approach to the evaluation used in this case example was a cumulative, systematic examination of the relationships among contexts, program activities and outcomes. It is clear that educational leaders benefit most from evaluation studies in which they have a clear understanding of the relationships among and between important school context and student outcome variables.

Evaluation studies that link implementation and school context factors to intervening school climate and student outcomes, and then link these intervening outcomes to student achievement outcomes is most valid and most useful to educational leaders. This approach was employed in the case example of the evaluation of the Comer SDP presented here. Anson, Cook et al. (1993) outlined a conceptual framework for understanding how the Comer SDP works. The authors noted that the process first improves what they call proximal (short-term) outcomes, such as climate and student self-esteem and behavior, which in turn lead to positive changes in distal (longer-term) outcomes such as student achievement. Payne (1994) who conducted an in-depth examination of the implementation of the SDP in Chicago noted: "part of what makes Comer so attractive is the hope that if we can change something so fundamental as the climate of relationships at a school the other changes which flow from that will be firmly rooted" (p. 35). He correctly noted that the SDP creates the context for effective programming to take hold and make a positive difference for students.

SDP Logic Model

The research and evaluation agenda of the School Development Program was informed by a developmental theoretical perspective on how best to help children learn and succeed in school. In our research, we asked the questions: 1) what outcomes do we want for children in our schools and how do we measure them? 2) What levels of development must children achieve along the six critical developmental pathways to achieve these outcomes? 3) What school climate conditions best promote the desired levels of development along the pathways? 4) How do we create and sustain these climate conditions?

We classified the positive outcomes we expect for all of our children into three broad areas: 1) adequate psychosocial adjustment including positive feelings of self-esteem and self-efficacy; 2) positive attitudes and behaviors including regular school attendance, achievement motivation, and positive study and work habits; 3) high levels of achievement. We measured these outcomes using a variety of psychometrically sound instruments as well as through interviews and focus groups with students, staff and parents. Students' performances on these measures were viewed as indicators of development along various pathways.

To assess the climate of schools and classrooms, we developed school climate surveys which were administered to students, staff and parents. These surveys were nationally tested on randomly selected samples and found to have strong psychometric properties. The climate surveys assessed multiple dimensions of a school's climate. We established strong relationships between dimensions of school climate, and student outcomes. We postulated that the creation of a positive and supportive school climate is facilitated by the effective implementation of the SDP. To assess the quality of program implementation we developed and revised an instrument which we then called the School Implementation Questionnaire Revised (SIQ-R). This instrument measured the strength of SDP implementation in certain critical domains and enabled us to associate implementation quality with school climate and student outcomes.

Our findings indicated that schools with the strongest implementation tended to have the most positive climate and the best student outcomes. Our qualitative research including focus groups, interviews and observations provided additional support for these findings and helped us to better understand the contextual issues and factors which influenced the success and limitations of the program.

We strongly recommended that an evaluation study or investigation be premised on a conceptual theoretical framework and that a logic model that explicates the hypothesized relationships among key variables and the connection between formative and summative evaluations be prepared. The SDP evaluation process was always consonant with the conceptual underpinnings of the program. The school is viewed as a system in which change in any part affects all the other parts. Therefore, the research design allowed for data to be gathered from all stakeholders: the students, parents, school staff including teachers, administrators, janitorial, secretarial, professional, and nonprofessional support staff. As the views of all are sought in decision making, the opinions and responses of all were sought during the evaluation process. The SDP evaluation process was conducted with the philosophy that all stakeholders should be involved, that the responsibility and decision making should be shared, and that whatever is done should be in the best interest of children.

The SDP is a process that creates a healthy, positive, and supportive school climate through its nine-element design: three teams (the School Planning and Management Team or SPMT, the Student and Staff Support Team or SSST, and the Parent Team or PT); three operations (Comprehensive School Plan, staff development, monitoring and assessment); three guiding principles (consensus, collaboration, and no-fault). Through these nine elements, and specifically with the implementation of the three teams, the SDP improves essential dimensions of school climate. As these dimensions improve, students experience significant positive growth along the six critical developmental pathways and are at reduced risk for negative outcomes. The probability of positive psychosocial behavioral and academic outcomes is also increased when appropriate programmatic and instructional activities are implemented as part of the school's comprehensive planning process. Figure

11.1 (Haynes, Emmons, Ben-Avie & Gebreyesus, 1996) is a logic model, designed by this author during the time I served as the SDP director of research and evaluation, that shows that the three SDP teams help to create essential positive school climate dimensions that support and nurture total student development along the six developmental pathways, through well-planned and focused activities, resulting in increased likelihood of positive outcomes. The three SDP guiding principles—consensus, collaboration, and no-fault—apply as much to documentation as they do to implementation.

FORMATIVE AND EARLY OUTCOME EVALUATION STUDIES

The results of the earlier research that we conducted on the SDP seemed clear. Schools that were assessed to be implementing the program very well seemed to have the most positive school climate, and achieve the best student outcomes. We examined a number of implementation factors: 1) School

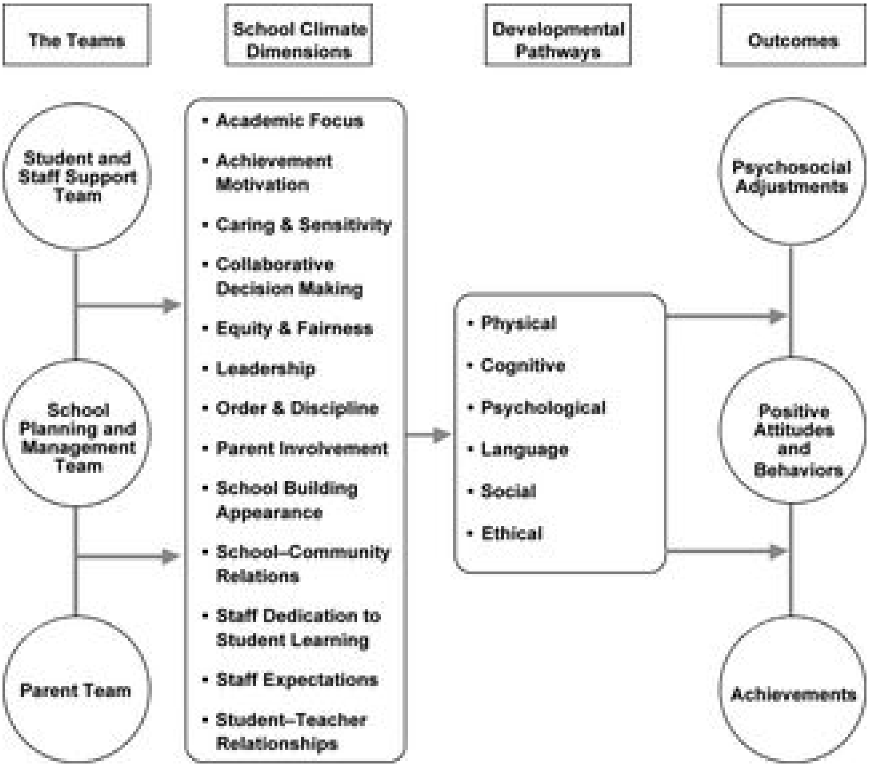

Figure 11.1. SDP Logic Model.

Planning and Management Team (SPMT) Effectiveness: The extent to which the SPMT is representative of the stakeholders in the school and works collaboratively to develop implement and monitor the school's comprehensive plan. 2) Student and Staff support Team (SSST) Effectiveness: The extent to which the members of the SSST devoted time and effort to make the school a supportive caring and responsive learning community by addressing global school climate issues and by meeting the psycho-educational needs of students and staff. 3) Parent Team Effectiveness: The extent to which there was significant parent involvement in the life of the school and the degree to which parents participate in decision-making through their representation on the SPMT. 4) Child Centeredness of the three teams: The extent to which the three teams tried to do what is in the best interest of children in the school. 5) Practice of the three SDP Guiding Principles: The extent to which the teams functioned according to the principles of no-fault, consensus and collaboration and the degree to which these three principles governed the interpersonal relationships and interactions in the school. 6) Comprehensive School Plan Effectiveness: The extent to which there was a school plan that clearly delineated the psychosocial and academic goals of the school with specific programmatic activities and curricula designed to achieve the goals. 7) Inclusion of All Staff in the Process: The degree to which there was pervasive awareness of commitment to and participation in the SDP by a majority of the members of the staff.

We found much variability among and between schools on these factors. Schools that received above average ratings on most or all of the factors tended to have better outcomes than schools that received average or below average ratings. All of the implementation factors were significantly related to school and student outcomes. A strong link between the quality (breadth and depth) of implementation and outcomes was clearly established. The implications for these findings were as follows:

> 1) In evaluating the effectiveness of the SDP, we had to first assess the level (breadth and depth) and the quality (strength and consistency) of the implementation. We could not measure outcomes without first measuring the process. We would not get good outcomes without good implementation. 2) To ensure effective implementation we had to continuously assess, modify and strengthen the implementation process, making sure that there was significant buy-in and support among key stakeholders. 3) Improvements in achievement outcomes were influenced by improvements in other outcomes such as school and classroom climate, and student attitudes, behaviors and self-esteem.

Therefore, we had to also identify and implement strategies in our comprehensive school plans to effect changes in these intervening outcomes as well as in achievement outcomes.

As part of the formative assessment processes in our earlier work, we sought to document the effects of the Comer SDP on a variety of school and student outcomes. We conducted many short-term cross-sectional comparative studies. In this review, I briefly summarize findings from the earlier comparative studies which have been widely published. These studies have also been intensely reviewed and analyzed in a report by Becker and Hedges (1992). The major research question was "what effect does the Comer SDP Program have on school climate and student outcomes?" With such large numbers of schools now claiming to be using the Comer SDP process, it was no longer plausible to randomly assign schools to Comer SDP and non-Comer SDP conditions, or to find comparison schools that did not use some Comer-like structures and processes. We therefore were interested in learning more about the nature of program implementation in schools and how the quality of implementation was related to school and student outcomes. Following the summary of earlier comparative studies, we presented a more detailed examination of a second question and more relevant and intriguing question, which is: "what is the relationship between the quality of implementation of the Comer SDP, school climate, and student outcomes?" This question was answered by studies in which we systematically assessed the quality of implementation in schools in New York, and Washington DC and related these assessments to and student outcomes. Cauce, Comer, and Schwartz (1987) found that students in Comer SDP schools reported significantly higher levels of achievement, school competence, and self-competence when compared to control group students in non-Comer SDP schools. Quasi-experimental control studies conducted by Haynes, Comer, and Hamilton-Lee in New Haven (1988) reported that students in SDP schools demonstrated significantly greater positive changes in attendance, and teacher assessments of their classroom behavior, attitude toward authority, and group participation, when compared to students in non-Comer SDP schools. In a follow-up study of SDP long-term effects of the SDP on students' classroom grades in New Haven, Connecticut, Haynes (1988) found substantial differences between students who attended SDP elementary schools and a comparison group while these students were attending the same middle school two to four years later. When standardized test scores were examined SDP students scored an average of one half standard deviation higher than their non-SDP peers on the Iowa Test of Basic Skills, math and language sections.

In 1988, the Office of Research for the Prince George's County Public Schools reported significantly higher gains for Math, Reading and Language on the California Achievement Test (CAT) for schools that were using the Comer School Development Program, when compared to the district as a whole. At the third grade level program schools gained 18 percentile points in Mathematics, 9 percentile points in Reading and 17 percentile points in Language. The district gains were 11, 4, and 9 percentile points respectively in Mathematics, Reading and Language. At the fifth grade level, program schools recorded 21.7 and 12 percentile point gains in Mathematics, Reading and Language respectively, compared to gains of 11, 4 and 7 percentile points for the district as a whole. Analyses of achievement data in Benton Harbor Michigan showed similar trends. Schools that were using the Comer School Development Program recorded significant four-year gains, between 7.5 and 11.0 percentile points in Reading and Mathematics, at the fourth, fifth and sixth grades exceeding gains registered for the district as a whole. Program schools also registered higher gains in Mathematics and Reading than the district as a whole in terms of the percentage of students obtaining 75 percent of the objectives on the California Achievement Test (CAT).

In 1989, a follow-up study of students in an urban middle school who attended New Haven SDP elementary schools found modestly more favorable teacher ratings of behavior, work and social habits and attitudes in SDP students than in students from matched elementary schools when these students were in grades 6. Rates of both absence and tardiness were lower at grades 6 and 8 among the students who attended Comer SDP elementary schools than among students who attended non-Comer SDP elementary schools (Haynes, 1993). Comer, Haynes, & Hamilton-Lee (1989) noted that students in Comer SDP schools reported significant improvements along five of the nine Trickett and Moos (1974) Classroom Environment Scale (CES) subscales, and on the total CES. Students in the four non-Comer SDP comparison schools reported significant improvements only on two of the subscales. Parents' assessments of school climate measured by the first version of SDP School Climate Survey (SCS), (Haynes, 1985) showed significant positive change for the SDP schools. Parents of children in non-Comer SDP schools reported significant negative changes in their assessments of the climate in those schools.

Data on student judgments of school climate generally favored SDP schools. Haynes (1990) found that CES scores that were almost half of a standard deviation higher for SDP students in New Haven, and similarly the results of Comer et al. (1986a) appear positive, though the results were not as explicit. More detail is available in the results of (Haynes 1993), which show a more positive overall assessment of climate in the Comer SDP schools. Lower competition scores for the SDP schools are consistent with the cooperative nature of the SDP intervention. The negative effects for Task Orientation and Rule Clarity resulted because SDP students saw no change in these areas, while comparison students' scores on the subscales increased. Very large SDP advantages were seen for Innovation, Order and Organization, and Teacher Support.

In a study by Haynes and Comer (1990), students in Comer SDP schools in the fourth and sixth grades were compared with non-Comer SDP students on six self-concept dimensions on the Piers Harris Self-Concept Scale. Both groups of students were also compared with the national normative sample on total self-concept. Students in SDP schools showed significantly greater increases on all self-concept dimensions and on total self-concept compared to students in non-Comer SDP schools. Students in Comer SDP schools also scored higher than the national average.

ASSESSMENT OF SDP IMPLEMENTATION FIDELITY AND OUTCOMES (*HAYNES, EMMONS, BEN-AVIE, & GEBREYESUS, 1996)*

Purpose

The purpose of the SDP program evaluation was threefold, to: (1) examine the fidelity or integrity of SDP implementation; (2) examine SDP program outcomes (3) connect SDP program outcomes to program implementation. Based on Stufflebeam's evaluation typology, we used a *Questions/Methods-Oriented Evaluation Approach. The evaluation was driven by several questions.*

Evaluation Questions

- How well were the core SDP components implemented?
- What student outcomes were observed on student performance measures?
- What relationship was established between the implementation of core SDP components and student performance measures?

Method

Study Samples: The study samples included the following groups:

1. All staff members, including support staff in selected schools;
2. All team members from the SPMT, MHT or SSST, and PP or PT;
3. Selected parents (10–12) who participated regularly in the life of the school, such as serving on the SPMT, attending PTA/PTO meetings and/or volunteering in various ways.

A total of eighteen out of twenty-two schools in the selected school district returned questionnaires in the implementation study. Sixteen of the 18 elementary schools, and two of the four junior high schools returned completed surveys. The response rate by number of schools was approximately 82% for the district. The total number of respondents who completed and returned the SIQR was 435, 25% of the total number sent to the schools.

There was a greater number of female respondents, 347 (83.4%), than male, 69 (16.6%). The respondents identified themselves as 47.2% African-American, 38.2% White/ European-American, 9.3% Latino, 0.8% Asian/ Pacific Islander, 0.8% Native American, and 3.7% other ethnicities. As expected, almost two thirds (63%) of those responding to the SIQR were classroom teachers. Only 3 people, less than 1%, identified themselves as parents. The others were paraprofessionals (10%), pupil support services (7%), resource teachers (5%), administrators (5%), non-instructional staff (2%), and other positions (6%).

The distribution of the sample by gender, ethnicity, and staff position is shown in Charts 1 to 3. Almost 75% of them had been in their current job for more than 5 years, but 42% of them have been at their current school five years or less. More than a third of the staff (154 or 35.4%) had been at their present school for 4 years or less. Another third of the staff (136) had been there from 5 to 10 years. The rest of the staff (145) had been at the particular school from 11 to over 35 years. Of those who completed the SIQR, 105 (24.1%) were members of the School Planning and Management Team (SPMT), 42 (9.7%) were members of the Student and Staff Support (SSST), 25 (5.7%) were members of the Parent Team (PT), 23 (5.3%) belonged to more than one team, and 34 (7.8%) belonged to other teams. About 200 or 47.4% of the respondents did not indicate membership on any school based team.

Instrument

The School Implementation Questionnaire-Revised (SIQR) was developed by Emmons, Haynes, Cook, and Comer in 1995 to measure the extent to which schools are implementing the nine elements, the principles, the teams and the operations of the School Development Program (SDP). The SIQR is based on four earlier versions of the School Implementation Questionnaire developed by Haynes and his colleagues, and on the School Management and Climate Questionnaire developed by Cook and his colleagues. Although the SIQR is meant specifically for SDP schools, it may also be used to measure the extent to which a school is “Comeresque,” that is, the extent to which a school performs like a well-functioning SDP school.

Staff, team members and parents respond on a five-point Likert scale, rating their perceptions of the implementation of specific SDP program components in their school. The response choices range from “Not at all” to “A great deal” for some choices; and from “Never” to “Always” or “Very” for others. Only the extremes of the range (1 and 5) are labeled as indicated above. Labels were added for the intermediate choices 2, 3, and 4, to help with the analysis of the results. The “don’t know” option is not used in the calculation of either the variable means or the internal consistency reliabilities.

The SIQR consists of 99 questions, which are combined into 14 general variables: nine evaluating each team (SPMT, MHT or SSST, PP, or PT) for its effectiveness, its use of the three guiding principles, and its child-centeredness and sensitivity, and five assessing the Comprehensive School Plan, district support, general school child-centeredness, levels of parent participation, and feelings of inclusion in the School Development Program. These variables are called: SPMT Effectiveness, SPMT Child-Centeredness and Sensitivity, SPMT Practice of SDP Guiding Principles, SSST Effectiveness, SSST Child-Centeredness and Sensitivity, SSST Practice of SDP Guiding Principles, Parent Team Effectiveness, Parent Team Child-Centeredness and Sensitivity, Parent Team Practice of SDP Guiding Principles, Parent Participation, Comprehensive School Plan Effectiveness, School Child-Centeredness, District Support, and Inclusion. The 14 variables and their definitions are listed in Table 11.1 (Haynes, Emmons, Ben-Avie, & Gebreyesus, 1996).

All variables are scored in the positive direction: the higher the score on the variable, the greater the amount of that quality respondents perceive to be present in the school. The highest possible mean of a variable is 5.0 and the lowest possible is 1.0. For example, if a school scores 4.6 on General Child-Centeredness, it means that respondents for that school strongly believe that staff frequently and consistently use existing knowledge of child development in their interactions with, and programs for, students at the school.

The SDP Effectiveness variable for each school was computed by summing the school's scores on SPMT Effectiveness, SSST Effectiveness, Parent Team Effectiveness, and Comprehensive School Plan Effectiveness; and then dividing the total by 4 to return the SDP Effectiveness variable to the original metric with a range of 1 to 5. This strategy allows for the use of the greatest number of respondents in the evaluation of SDP effectiveness in the schools.

Data Collection

A standard procedure for data collection was developed by the SDP research team. This procedure included the following steps:

1. Survey forms were pre-coded by school, by SDP staff before distribution.
2. Principals were given a consent form*,* with written and verbal instructions on how to administer the SIQR.
3. The principals of all schools were asked to distribute the SIQR to all staff and team members and to provide a ballot box for the anonymous

Table 11.1. School Implementation Variables and their Definitions.

Variable Abbreviation	Variable Name	Definition
SPMT Child-Center	SPMT Child-Centeredness and Sensitivity	The extent to which the SPMT focuses on child development and addresses issues relevant to the lives of children.
SPMT Effectiveness	SPMT Effectiveness	The extent to which the SPMT is effective in the school
SPMT Practice	SPMT Practice of SDP Guiding Principles	The extent to which the SPMT practices the three SDP guiding principles
SSST Child-Center	SSST Child-Centeredness and Sensitivity	The extent to which the Student and Staff Support Team is child centered and sensitive to all members of the school population
SSST Effectiveness	SSST Effectiveness	The extent to which the Student and Staff Support Team is effective in the school
SSST Practice	SSST Practice of SDP Guiding Principles	The extent to which the Student and Staff Support Team practices the three SDP guiding principles
PT Child-Center	PARENT TEAM Child-Centeredness and Sensitivity	The extent to which the Parent Team is child centered and sensitive to all members of the school population
PT Effectiveness	PARENT TEAM Effectiveness	The extent to which the Parent Team is effective in the school
PT Practice	PARENT TEAM Practice of SDP Guiding Principles	The extent to which the Parent Team practices the three SDP guiding principles
PARENT Participation	Parent Participation	The extent to which parents participate at all levels in the life of the school
Comp School Plan	Comprehensive School Plan Effectiveness	The extent to which the Comprehensive School Plan is effective in addressing the needs of the school
School Child Center	General School Child-Centeredness	The extent to which the school focuses on the development of the child and uses child development theories in its interactions with children and programs for children
District Support	District Support	The extent to which members of the school community feel supported by the district office staff.
Inclusion	Inclusion	The extent to which members of the school community feel informed about the activities of the Teams and included in the planning

return of questionnaires. It was hoped that this process would encourage honesty in responses.

4. The completed questionnaires were mailed to the SDP Research Unit.

Data Analysis

Averages for each of the SIQR variables were computed using only respondents with complete data for that variable. For example, for a participant to get a score on the Parent Participation effectiveness variable, that person must have selected a response between 1 and 5 on all of the 8 items that define Parent Participation. Percentages for participant responses on variable response choices were also computed. Correlation coefficients between variables on implementation effectiveness and student attendance and achievement were also computed.

Findings

SDP Implementation Fidelity and Integrity

The scores for the team *Effectiveness* variables, a subset of the SIQR variables, ranged from 3.1 (SSST) to 3.6 (SPMT). These scores indicate that the teams displayed a moderate level of skill in the performance of their tasks. For example, the score of 3.6 indicates that the SPMTs were fairly skilled at keeping track of how well their plans were carried out, using feedback to modify their plans and procedures, enlisting the help of parents, community members and school staff in school improvement activities, influencing classroom curriculum and relationships, and planning and implementing staff development. But there is considerable room for improvement as the maximum possible score is 5.

Scores for team *Child-Centeredness and Sensitivity* for the district ranged from 3.4 (Parent Team) to 4.0 (SPMT). The scores indicate that participants *believed* that the SDP teams were moderately child-centered. The scores suggest that respondents felt that the teams tended to focus on the development of the child and to use child development theories in its interactions with children and in its choice of programs for children.

The scores for the teams on the *Practice of SDP Guiding Principles* ranged from 3.3 (Parent Team) to 3.8 (SPMT). These scores indicate that participants *believed* that the SDP teams had some skill in the practice of collaboration, no-fault and consensus decision making. The SPMT was considered most skilled in these areas and parent team the least skilled.

Of the three teams, the SPMT was rated the most effective, the most child-centered, and the team that most consistently attempted to practice the SDP guiding principles. This means that the SPMT was seen to be doing the best job, including enlisting parents, community members and adults to participate in school improvement. The SSST was rated the least effective. The parent team was rated the least child-centered and the team that least practiced the SDP principles. But this ranking of the teams was not fully descriptive of their functioning.

In response to the relevant question, "To what extent does [each] team positively affect life in the school?" 30% of the 435 participants believed the SPMT had a positive effect on the life in their school (giving it a rating of 4 or 5), 25% rated the SSST highly (4 or 5), and 33% rated the parent team highly as positively affecting life in the school. For this question, the parent team had the highest percentage of respondents saying that it was highly effective. Thirty-four percent (146) of the participants, however, did not know what effect the SPMT had or did not answer the question. Similarly, 40% (175) either did not know what effect the SSST had or did not answer the question, and 23% (99) did not know what effect the parent team had or did not answer the question. (We infer from the pattern of responses that some participants simply did not respond to an item if they did not know the answer.) It seems, then, that participants (mostly school staff) were most aware of the effects of the parent team on the school and least aware of the impact of the SSST.

The pattern of responses noted here is particularly obvious for the rating of the teams' effectiveness, but also occurred in responses to other variables. Because only people who chose a response between 1 and 5 on the items defining each variable were included in the computation of that variable, the results reflect the opinions of those who are most knowledgeable about what is happening in the school. Analysis of individual items as shown in the previous paragraph therefore lends richness to the interpretation of the data. The level of SDP implementation effectiveness varied considerably by school. Of the 16 schools with an average of 6 or more respondents across the 14 variables, 25% had low scores on SDP Effectiveness and 37.5% had low moderate scores of 3.0 to 3.3. This means that during the baseline year, 63% of these schools were well below desirable SDP functioning, as we expected. Some 25% of these schools were in the low region of the high functioning range, from 4.0 to 4.3.

RELATIONSHIP OF SDP OUTCOMES TO SDP IMPLEMENTATION FIDELITY AND INTEGRITY (*HAYNES,* 1994; *HAYNES, EMMONS, BEN-AVIE, & GEBREYESUS, 1996)*

The correlation between mathematics performance and SDP implementation effectiveness ($r = .68, p = .007$) for 14 elementary schools indicated a significant relationship between the two variables. (The highest correlation possible is 1.0 and lowest is 0.) Schools that had low scores on SDP Implementation Effectiveness were also low on mathematics performance. Schools that had high scores on SDP Implementation Effectiveness were also high on mathematics performance. The pattern was similar for reading performance. The correlation coefficient of .72 between reading performance and SDP Implementation Effectiveness indicated a significant relationship ($p = .004$) between the two variables. Schools that had low scores on SDP Implementation Effectiveness were also low on reading performance. Schools that had high scores on SDP Implementation Effectiveness also had high reading achievement.

Although there was a positive relationship ($r = .38$) between SDP Implementation Effectiveness and student attendance, the relationship was not statistically significant in part because of the small sample size. In addition to correlational analyses, we decided to visually compare schools on student achievement by level of SDP Effectiveness. The fourteen elementary schools were divided into three groups: high, moderate, and low SDP Effectiveness. There were four schools in the low effectiveness group, seven schools in moderate effectiveness group, and three schools in the high group. The same criterion of 4.0 and above being high, 3.0 to 3.99 being moderate, and 2.99 or lower being low was used for this grouping. Across each group of schools, we found the average percent of students at or above the mean on mathematics and reading. It is clear from figure 11.2 that high implementing schools outperformed the moderate and low implementing schools, and that the moderate implementing outperformed the low implementing schools.

CONCLUSION *(HAYNES, EMMONS, BEN-AVIE, & GEBREYESUS, 1996)*

We found that in all schools responding to the SIQR, the nine elements were present to some degree. However, there was evidence of a lack of awareness of the existence, functioning, and effectiveness of these teams. We found this lack of awareness even among team members who did not agree on the frequency with which their teams met. This lack of awareness is emphasized by the fact that staff did not feel included in the communication network of the schools. The teams seldom kept them informed or solicited their opinions. This showed that even though the schools had similar structures, most of them were not functioning as SDP schools.

The widespread implementation by schools in this district of aspects of the nine SDP elements supports our assumption that many schools that were not formally SDP schools, adopted many of the elements and practice them at varying degrees of proficiency. This we think was unavoidable, especially in districts with SDP schools. As expected, we found that schools that were

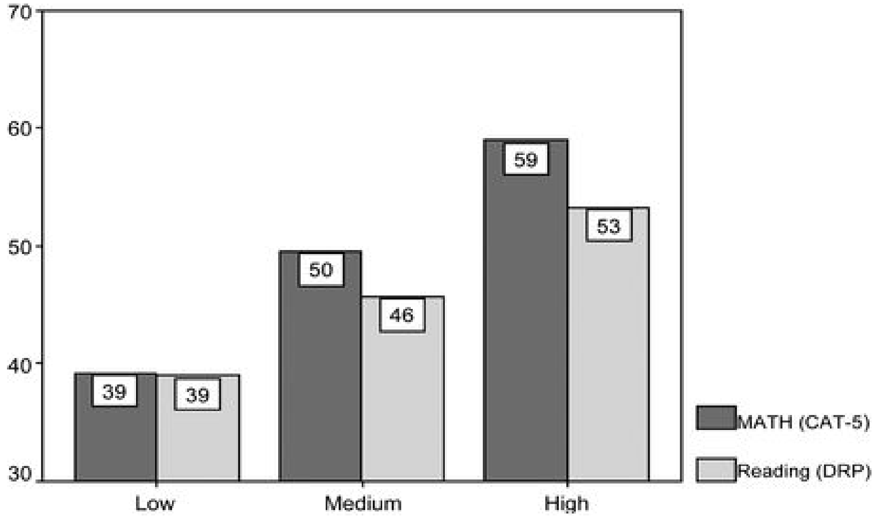

Figure 11.2. Level of SDP Implementation Effectiveness.

more SDP-like had more positive student outcomes. The high implementing schools had the highest student achievement. The low implementing schools had the lowest student achievement. This finding suggests that training in and faithful replication of the SDP process may contribute to improved student outcomes. In-depth qualitative analyses would help to elucidate the extent to which this is true, and the process through which the transformation of the school by the implementation the SDP results in increased student achievement.

In an effort to identify other factors that may be related to student achievement, we correlated an index of poverty, (percent of students receiving free and reduced lunch), with reading and mathematics. Poverty was significantly related to both reading ($r = -.66, p = .010$) and mathematics ($r = -.71, p = .005$). This means that generally the poorer the school, the lower the students' achievement level. Conversely, the richer the school, the higher the students' achievement level.

Because we found that both SDP implementation effectiveness and poverty were significantly related to reading and mathematics achievement, we wanted to find out to what extent the relationship between SDP implementation effectiveness and achievement could be explained by poverty. We know from an abundance of research that poverty explains a large amount of the difference in student achievement. We wanted to see if SDP implementation effectiveness added something to the explanation of differences in student achievement. To do this, we computed partial correlations of SDP implementation effectiveness with reading and mathematics while controlling for poverty (percent of students receiving free and reduced lunch). We found that even when poverty was taken into account, SDP implementation effectiveness still contributed significantly to the explanation of the differences in student achievement in both reading (r = .56, *p* = .047) and mathematics (r = .61, *p* = .027). This means that even when the effect of poverty on student achievement is removed, students tend to perform better in schools that are more "SDP-like."

It was clear that positive, meaningful and sustainable change does not occur by chance but is the result of thoughtful planning and consistent and constructive action on the part of all of involved led by the school leader. An essential aspect of planning for change and acting to make change happen is knowing where we want to go and understanding how we are going to get there. An evaluation approach that is informed by our understanding of how meaningful change occurs yields the kind of information that helps us to make the best decisions and realistically appraise the observed outcomes. As we shift the paradigm in school reform evaluation from the traditional experimental and control designs to a more theoretically informed and contextually sensitive approach, we increase our capacity to positively affect the quality of schooling and the life chances for children in our schools.

Limitations *(Haynes, 1994; Haynes, Emmons, Ben-Avie, & Gebreyesus, 1996)*

Limitations to the SDP evaluation were previously reported (Haynes, 1994). The report indicated that low to moderate district baseline scores on SDP implementation indicated the need for staff development in the SDP process. Much work was still needed to get the Parent Teams functioning, and the SSST or CARE teams effective. The SSST appeared to be the team that is the most difficult to get working well. We feel that significant skill building is needed in this area. According to the baseline data, school staff needed to be included more in the process, and to feel more district support. The existence of these SDP-like structures should facilitate the implementation of the SDP in District. In the *Selected Case Studies*, Haynes (1994) found that in schools where there were similar pre-existing structures, it was easier to achieve faithful replication of the SDP.

We also found that the low response rate limits the generalizability of the results of this study. In addition, there were far fewer SSST and PT members responding per school than there were SPMT members (Haynes, 1994). This may be a reflection of the composition of the teams or of the functioning of the teams. However, since most of the schools had just started SDP implementation, the study serves primarily to define a baseline for these schools. Because the SIQR is broken up into many sections, many participants answered only one or two questions from a section and failed to answer the rest. As a result, the number of respondents for each variable changes considerably. At some schools, the number is less than the number generally required to be able to generalize the results. Almost as important as the number of participants answering the questions, then, is the number who answered "Don't know" or who failed to answer the question, that is, the number or percent of *missing* responses. The number of missing responses is a pretty good indication of the amount of *saturation* the SDP has achieved. Since most of the schools just started the program, the amount of saturation was not expected to be high. The high proportion of "Don't know" and missing responses attest to the lack of saturation in the district. In contrast, the people who were on the teams and participated in the program generally rated the program positively.

The self-report nature of these data allowed for bias because some staff members may want to make themselves and their school look good, thereby inflating their scores. But because a major test of the usefulness of a construct or a variable is its relationship to other important variables, we feel that the consistent pattern of relationships between the SDP implementation variables and student outcomes makes the SIQR an important tool for understanding the implementation and impact of the SDP. Structured observations in schools by a researcher can cross-validate the quantitative findings and enhance understanding of how the SDP functions.

SUMMARY OF APPROACH TO TEACHING PROGRAM EVALUATION

In our Educational and Leadership Department, the course on program evaluation is designed to address the essential principles and methods of program evaluation in schools, school districts, community agencies and other related settings. The expectation is that students will acquire the knowledge and develop the skill needed to understand how a program evaluation is conducted and to conduct a program evaluation. There is usually an emphasis on demonstrating a full understanding of how to frame and conduct a program evaluation using formative and summative evaluation techniques. It is expected that at the end of the course Students will:

- Understand and be able to compare and contrast various models of evaluation;
- Design a program evaluation plan;
- Use program evaluation information to make decisions; and
- Interpret written evaluation reports.

These learning outcomes are accomplished through multiple instructional modalities including: class lectures, discussions, readings, cases from practice, field-based evaluation projects, class discussions, video viewing and analysis, class discussions and presentations.

Each student is required to identify a program or initiative that he or she is interested in evaluating and design an evaluation study that includes a formative component and a summative component. Students are also expected to carefully read and review a program evaluation study, of a selected program, and discuss and critique the report using guidelines that are provided in discussing and critiquing the report. Students are directed to a list of evaluation studies that can be found on the website of the National Center for Education Evaluation and Regional Assistance within the Institute of Educational Sciences (IES).

NOTE

1. Information on the School Development program (SDP) and the data presented in this case study are based on reports and research conducted by this author with Dr. Christine Emmons and Dr. James P. Comer. The author at the time served as director of research and evaluation for the School Development Program (SDP).

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Chapter Twelve

Educational Leadership for Multicultural Education

Teaching English Learners

Gladys Labas, Norris M. Haynes,
and Jess L. Gregory

The changing American demographic landscape strongly suggests that the developmental, cultural and learning contexts reflected in American schools require socially and culturally adroit educational leadership. The socially and culturally adroit educational leader is one who embraces cultural diversity and leads by example, in promoting and supporting practices and policies that respond to the diverse learning needs of a multicultural student body and the diverse professional development needs of a multicultural faculty. In this chapter the authors discuss the need for and importance of socially and culturally sensitive and responsive educational leadership and provide some historical, legislative and contextual background on educational policies and practices to address the learning needs of linguistically diverse student populations.

According to the Center for Public Education (CPE) (2007), projections by the census Bureau through 2050 indicate a nation that is becoming significantly more culturally diverse. In reporting projections in population growth among various ethnic and cultural groups, for the period 2010 to 2050, the CPE noted:

> The Hispanic population will grow from 49.7 million to 132.8 million, an increase of 83 million or 167 percent. The group's share of the nation's population will almost double, from 16 percent in 2010 to 30 percent in 2050. The Asian population will grow 213 percent, or from 14.4 million to 34.4 million.

> Asians' share of the population will double, from 4.7 percent to 7.8 percent. The black population will grow from 39.9 million to 56.9 million, an increase of 17 million or 46 percent. The black share of the population will remain relatively the same at around 13 percent. The non-Hispanic white population will increase by only 1 percent, from 200.9 million to 203.3 million, a gain of 2.5 million. The non-Hispanic white share of the population will decline from 64.7 percent in 2010 to 46.3 percent in 2050 (p. 1).

These national population trends are reflected among students in the nation's schools. In 2008, the Census Bureau reported:

> Elementary and high school students today are more diverse by race and Hispanic origin than the Baby Boom generation of students. In 1970, when the crest of the Baby Boom was enrolled in elementary and high school, the student population was 79 percent non-Hispanic white, 14 percent black, 1 percent Asian and Pacific Islander and other races, and 6 percent Hispanic. In 2008, 59 percent were non-Hispanic white, 15 percent black, 5 percent Asian, and 18 percent Hispanic. The Census Bureau's population projections indicate that the population aged 6 to 17 will become increasingly diverse in future years (p. 5).

As the American demographic landscape becomes more culturally diverse, schools are facing challenges to provide culturally sensitive and validating educational experiences to students from many cultural backgrounds. In a significant publication, Gordon (1992) noted:

> At least two ongoing phenomena characterize the social fabric of the United States and have increasingly serious implications for our educational system. They are changing demographic characteristics of the U.S. population and the continuing democratization of the nation's public institutions. Recognizing these changes, educators are increasingly voicing the concern that the educational system reflects the diversity of human characteristics in the country (p. 235).

Gordon (1992) further noted that the nation's "roots have changed over the past 200 years from 90% European and 10% persons from other regional groups (cumulatively) to approximately 50% European and 50% persons from other regions in the present period" (p. 235). In 1990, approximately 31% of the school age population (under 18) in the United States was minority, (African-American, Hispanic, Native American, and Asian). This was twice what it was in 1980 when minority youth comprised 15% of the school age population. By 2020, the minority population under 18 is expected to grow to 50% of all youth in that age group (Miller, 1993).

Given this shift in the racial, ethnic and cultural distribution of students in American public schools, educational leaders are required to significantly increase their efforts to encourage cultural sensitivity among students and staff. As schools become increasingly pluralistic and multicultural, ecological personalization, discussed in chapter six, through cultural programming and infused throughout the curriculum, instruction and assessment (CIA) practices of schools becomes increasingly even more important. As far back as 1990, Boating, in explaining the importance of multicultural education asserted:

> Considering the importance of addressing the inequalities in the curriculum and of preparing all children effectively for a multicultural society, restructuring classroom instruction to reflect the diversity of society seems to be a viable alternative. From the perspective of educational policy and practice, public education must seek whatever information the social sciences can provide—concerning the different socio-cultural system from which its children come (p. 77).

Socially and culturally adroit educational leaders respond to the needs of their diverse student populations by ensuring that:

1. All students reach their potential by drawing on their cultural experiences and by helping them to view events from diverse cultural perspectives;
2. Staff and students overcome their fear of diversity that leads to cultural
3. Misunderstanding and cultural encapsulation;
4. Staff and students view cultural differences in an equalitarian manner rather than in an inferior-superior mode; and
5. Expand their conception of what it means to be human in a culturally diverse world and to develop cross cultural competency—the ability to function within a range of cultures.

The importance of sensitizing and preparing educational leaders to be able to lead their schools' staff in addressing the educational and developmental needs of cultural diverse students was also well articulated by members of the Holmes Group as early as 1990. They asserted:

> When teachers learn more about their students they can build learning communities that embrace rather than smother cultural diversity. Students do differ. Without stereotyping or prepackaged responses, such differences can become opportunities for richer learning. A main aim of teacher preparation, then, should be to prepare novice teachers for a career in which they will be able to draw upon students' diversity to make learning dynamic and interesting for children and for themselves. We speak of celebrating diversity because we believe that the hallmark of a true learning community is its inclusiveness—where teachers take the responsibility for helping each child take part to his or her fullest. The idea of a learning community has special significance in a

> democracy where all must find their voice. Each student's self-definition includes an element of his/her racial and cultural identity, and his/her self-worth includes an element of how that identity is valued and validated in the school context (p. 35).

It is clear that the preparation of school leaders who are socially and culturally adroit, must be conducted in ways that influence, paraphrasing the Holmes Group, how they think about curriculum and its connections to students' experiences, culture and personal meaning; how they think about assessment and its capacity to illuminate the full range of students' multiple intelligences and achievement, and how they think about teaching and its responsiveness to students' conceptions and understandings (Holmes group, 1990, p. 19).

Beyond a culturally sensitive curriculum, educator attitudes towards students of varying cultural backgrounds influences the success of those students. All the adults in the building have a responsibility to contribute to the educational outcomes of all the students in their schools. How the adults think, feel, and behave is the greatest influencer of how well students will perform. Fishbein and Ajzen (1972) proposed a triadic model of attitudes comprised of cognitive, affective and conative (behavioral) dimensions. By measuring the attitudes of pre-service educators teacher and leader preparation programs can make targeted adjustments to the curriculum to improve attitudes and improve student outcomes. Likewise, in the field, district and school leaders can use a tool to measure the three domains of attitude and differentiate professional development based on the data to have the greatest influence on educator attitudes.

The notion of differentiated professional development has been embedded in new teacher evaluation and administrator evaluation programs. For decades differentiation in many forms has been the gold standard within the classroom, but only recently has the transition been made to teacher and leader evaluation. The move to include differentiated professional development into the accountability movement decries a need for a finer-grained disaggregation of what is required of educators. Beard, Hoy, and Woolfolk Hoy (2010) proposed a construct that measures teacher efficacy, professional commitment, academic press, and trust suggesting together they measure an educator's academic optimism.

Academic optimism is connected to positive student growth. It is defined by Woolfolk Hoy, Hoy, and Kurz (2008) as "a teacher's positive belief that he or she can make a difference in the academic performance of students by emphasizing academics and learning, by trusting parents and students to cooperate in the process, and by believing in his or her own capacity to overcome difficulties and react with resilience and perseverance" (p. 822). All educators, not just teachers, need to appreciate the cultural background of their students in order to build the trust required to work together setting high expectations for students. Tschannen-Moran and Hoy (2003) describe these trusting relationships as being comprised of feelings of benevolence, openness, honesty, reliability, and competence. It is crucial for teacher and leader preparation programs to provide opportunities for teacher and leader candidates to develop these feelings. It is also essential that districts monitor and facilitate the development of these feelings to establish and steward meaningful partnerships across all members of the school community, not merely respecting, but integrating and celebrating the variety of cultural backgrounds present to ultimately create an environment for all students to excel.

The rapid changes and the advancement of the global economy have produced new demands in the field of teacher preparation programs. Seen in a wider spectrum, the demands for innovation must apply to the entire educational system. This includes, preparing instructional leaders for a cutting edge educational system; improving teacher professional preparation to adapt new skills and diversity into the curriculum; preparing a generation of students able to compete in a worldwide economy and subsequently improve the instructional core in order raise student achievement (Darling-Hammond, 2005; Friedman, 2005, Garcia, 1994; Arc, Wagner, Keagan, Lahhey, Lemons, Garnier, Helsing, Howell, Rasmussen, 2006).

LEADING EDUCATION FOR ENGLISH LEARNERS

Educational leaders who are aware of and who advance the benefits of multicultural education act consistently with the expectations of “adroit educational leadership” discussed in the introduction to this book. United States is a diverse society and this diversity is mirrored in our multicultural schools and classrooms. *Multicultural education* is the opportunity for all students who attend American Schools to have equal access to learning opportunities and to be equally represented in these schools’ curricula (Garcia, 1994; Eaton, 2007; Stone, 2009). The curricula taught in our public school systems must reflect the diversity within of our nation’s schools. The goal of multicultural education is to help the culturally diverse students succeed in mainstream classrooms of the American Public School System without being assimilated in the mainstream culture (Garcia, 1994, p. 82).

Based on the work the work of Crawford (1999), traditionally, bilingual education has gone through stumbling blocks. Crawford (1999) calls bilingual education’s progress “one step forward and two steps back” (p. 51), meaning, educational policies have often failed minority children due to the lack of teacher preparation and qualified staff. From an equity perspective, all students must have equal access to educational opportunities. This includes also the bilingual and ELLs (English Language learners) enrolled in the public school system. Though they represent a minority, their needs to succeed might be different form the general education students. The continuance of sheltered instruction after the bilingual and ELL program ends is deeply rooted in the philosophy of the bilingual education (Crawford, 1999; Garcia, 2004).

In the late fifties and early sixties, with the rapidly growing population of first generation immigrants whose children were around school age, the need for ESL services for bilingual and ELL populations emerged. American schools were flooded with children whose primary language spoken at home was other than English. Faced with this problem, schools were not equipped with personnel to serve linguistically and culturally these students (Crawford, 1999; Echevarria & Graves 2007). As a result, in 1968 United States Congress passed the BEA (Bilingual Education Act). Influenced by Texas Senator Ralph Yarborough, the initiator of the BEA bill who argued for equal economic opportunities for the Hispanic population in the southern states, President Johnson signed the bill into a law in 1968 (Faltis & Hudelson, 1998, p. 10).

The law known as either Title VII or BEA, is a federal education policy, which authorizes the federal government to set aside money to develop special instructional materials for use in the bilingual classroom; provide in-service training for teachers, teacher assistants and counselors working in bilingual programs; establish, maintain and implement programs for children who are adding English as a second language (Anderson & Boyer, 1978, p. 224).

Student populations with limited English proficiency are growing rapidly and the dynamics of our schools have changed. Along with the dynamics the demand for better prepared teachers has risen as well. The literature shows that our mainstream classroom teachers who hold a degree in general education especially in grades 3–6 might not be prepared to teach bilingual and ELL students and accommodate their learning. In addition, along with a diverse curriculum, mainstream classroom teachers are not equipped with adequate training to teach this type of learner. As a result, many teachers do not see as relevant different learning theories that apply to different types of learners including bilingual and ELL students. “One size fits all” which comes down to one curriculum, one lesson plan and one learning approach for all students does not meet the needs of all our student population (Echevarria & Graves, 2007; Claire, 2000).

Research has demonstrated that when ELL and bilinguals are provided with necessary opportunities to learn English through content they can develop strong academic language and skills. But, in order for this growth to happen, mainstream classroom teachers must be qualified and must have the necessary credentials to reach out to this population of students (Darling-Hammond & Brandsford, 2005; Chavarria & Graves, 2007).

From a multicultural perspective, educational leaders, as instructional leaders have the obligation to address the following areas of teaching and learning with multicultural student populations:

Teacher Preparation: Assure that teachers are applying the language and content objectives in their lessons; preparing the students on what they are expected to know and learn. The evidence of objective differentiation throughout the lesson is an indicator that teachers are prepared to meet the needs of the bilingual and ELL student population.

Activating Prior Experiences: Assure that teachers are linking new concepts to ELL and bilingual students' backgrounds. The teachers' perception about their students' background must show deep understanding of their culture and must be reflected in their daily lessons or classroom setting.

Teaching English through Content: Provide teachers with opportunities for effective professional development to develop strategies in teaching English through content.

Use of Effective Strategies: Be aware how teachers are promoting higher ordering thinking activities for the ELL and bilingual population. Instructional leaders must also be familiar with the scaffolding techniques teachers are using to make the content more accessible to the ELL and bilingual population.

Creating Opportunities for Student Output: Be able to easily identify the extent to which teachers promote inquiry skills among bilingual or ELL students and how do they create opportunities for ELLs to negotiate meaning, allow sufficient time to express in writing or orally their thoughts.

Application of Second Language Acquisition theories into Practice: Provide teachers with insights, scaffolding techniques and strategies to teach language through content to ELL and bilingual students. They must be familiar with the multiple methods of the Second Language Acquisition teaching and learning process.

Sheltered Instruction is Good Instruction: Find ways of observing teachers, through instructional rounds, and look for evidence on student differentiations; lesson pacing in order to make learning accessible for all levels of language proficiency.

Evaluate Through Student Growth: Be able to evaluate teacher's use of assessment, the way they measure student growth and understanding; also, instructional leaders must be familiar with different opportunities teachers are giving to bilingual and ELL student to learn and retain new concepts.

A framework that leaders should encourage and support embraces good instruction with differentiated, sheltered instruction in the classroom. This happens only in the classroom and when a teacher is trained to use second language strategies. The instructional leader is the agent who can bring the three elements of the instructional core together student, content and teacher and providing the needed support for the success of all students.

Increasingly, educational leaders are faced with the need to effectively educate second language learners. The increasing number of English Learners in U.S. classrooms is particularly significant in light of educational reform movements of the past fifteen years. Most states have established curriculum and performance standards for all students in core subject areas such as English, Science, Mathematics, and social studies and many states expect all students to pass certain test or course to graduate. These options have been designed for native English speakers who have spent their entire academic careers in U.S. schools. Thus the stakes for Second Language Learners have been raised significantly as states have restructured their accountability measures.

English Language Learners (ELLs) in most states have been exempt from state mandated testing for at least three years, however the research on second language clearly indicates that this is insufficient time (Krashen, 1983: Cummins, 1985) In addition many states have dismantled second language programs and have maintained only English programs. ELL students are placed in these English-only classrooms with teachers who have not benefited from professional development in making content instruction comprehensible for them. This is important for educational leaders to address if they are to be effective in ensuring that all students of all culturally and linguistically diverse backgrounds are educated effectively.

INSTRUCTIONAL PROGRAM MODELS FOR ENGLISH LEARNERS

Quality instructional programs need to be provided to English learners (ELs) in order that they may perform at expected levels when taught using rigorous curricula and that they may succeed in school and in life. The following list developed by Minaya-Rowe and Calderon (2010) provides a quick review of the benefits and drawbacks of all the ELs programs.

Programs that offer dual language instruction include the following:

- Transitional Bilingual Program (TBE)
- Maintenance/ Dual language (DL)
- Two Way Bilingual program (TWBI)

Programs that instruct English language Learners include:

- Pull-out ESL/Bilingual
- Push-in ESL/Bilingual
- Structure English Immersion((SEI)
- English Immersion (EI)
- Sheltered English (SE)
- Integrated Language, Literacy and Content Instruction by all mainstream teachers in middle school and high schools

The educational leader is crucial in the implementation of effective instructional models in the schools that address cultural and linguistic diversity (Dufour, 2007). Leaders who are successful do the following:

- Analyze the vision ,mission, and core value of the school
- Align people to that vision and mission
- Build effective teams
- Create climate for organization change
- Gather and analyze data to make research-based goals
- Implement and monitor their plans to ensure success of their reform effort (Hirsh, 2006, Kelly and Lezotte, 2003).

Leaders and policy-makers need to establish a common mission that will now focus on program models and instruction can be designed to maximize the linguistic, cognitive, and social exchanges between students. With the demographic shift, the investment in researched-based models and instruction is actually an investment in the future well-being of everyone.

No longer can leadership preparation ignore the growing requirement that leaders be socially and culturally adroit. Keeping academic optimism and the attitudes of educators in mind, leaders must be prepared to provide the skills needed for faculty and students to excel in the worldwide economy without forcing them to be assimilated in the mainstream culture. As districts professionally develop currently practicing leaders and universities train leader candidates it is imperative that programs promote best practices in meeting the diverse learning needs of multicultural students and faculty.

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Chapter Thirteen

A Balanced Curriculum Approach for Educational Leaders

David A. Squires

This chapter addresses how the author views curriculum as part of the role of the school leader. By focusing on curriculum, the "adroit educational leader" (see Introduction) emphasizes that curriculum can address low student achievement and I can back this up with results (Squires, 2014). I will argue that curriculum constructed to improve student achievement is part of the role of an "adroit educational leader." All educational leaders need to understand curriculums role in improving achievement.

PURPOSE OF CURRICULUM

Many people believe the purpose of curriculum is to set a systematic structure for a district to describe what is taught to students. Curriculum in the model advanced here becomes a district's preference for determining a systematic structure, a way the district specifies what is appropriate to teach to students. This is in general why there is no agreed on way that curriculum is structured; there is latitude on how curriculum is defined, as long as curriculum is defined as systematic.

In my curriculum classes in the Educational Leadership Program at Southern Connecticut State University I do not teach that curriculum is a systematic way for describing what is taught to students. Instead I believe that the purpose of curriculum is to help improve student achievement. This involves very different discussions and decisions in order to come to terms with the way the curriculum needs to be described so a district can improve student achievement. One may argue, "but I have never seen curriculum that helps to improve student achievement." There are a number of models of curricula in school districts that have won the nationally based Booker Prize, include school districts that have adopted the Balanced Curriculum that have used curriculum to improve achievement (Squires, 2014). These models all incorporate the ASIA framework: A=Alignment, S=Curriculum Structure and District Stability, I=Implementation and Infrastructure, and A=Assessment. I teach that by incorporating the ASIA framework into a curriculum design, there is an opportunity to improve curriculum and student achievement. I believe that aspiring educational leaders need these models of how to use curriculum to improve achievement so they can help change the culture of the schools in which they will be working. I also believe that if curriculum cannot improve achievement, then it is not worth the "cost" of everyone following the same structure in what to teach students; it would be better to let teach whatever they feel is most important.

As most curriculums are based on state, and now, national standards, alignment becomes an important component. Surprisingly, popular curriculum development models like Understanding by Design and Curriculum Mapping pay little attention to alignment. As the book *Curriculum: District Stories of a Path to Improved Achievement, In Press* demonstrates, all districts that improved achievement mentioned in the book, used alignment as a central strategy in their curriculum development. This is very important for the recent adoption of new national standards and assessments that will replace state standards and assessment. Curriculum should demonstrate how the standards get taught and to do this there needs to be a very structured way to align the curriculum to standards.

The book (Squires, 2014) also demonstrates that all of the districts in the book addressed the ASIA framework: A=Alignment, S=Curriculum Structure and District Stability, I=Implementation and Infrastructure, and A=Assessment (I have already covered alignment). Each district addressed how the curriculum was structured by stating which components are required and which components are optional. It was also found that these districts had a superintendent that served a long time, thus improving district stability and the large number of years it takes to develop a rigorous curriculum. All districts had definite ways that the curriculum was implemented, including district infra-structure that helped to improve implantation. Lastly, all districts included district-wide assessment strategies to help demonstrate curriculum implementation. I hypothesize that when curriculum becomes essential in school districts, student achievement will improve if the ASIA categories are will designed.

THE COURSE

The curriculum course in Educational Leadership Department at Southern Connecticut State University consists of students reading *Curriculum: District Stories of a Path to Improved Achievement* to establish that curriculum can be used to improve achievement. Then students read *Balancing and Aligning the Standards-based Curriculum* (Squires, 2005) and complete a unit or two using the balanced curriculum model. They produce the sample curriculum in an area that they have experience teaching, and the curriculum is produced individually. (all Connecticut standards and the new national standards are on the Balanced Curriculum website (www.balancedcurriculum.com. Student work for the course can be viewed by logging into the website as Login: SCSU Student, password: 1234.) They complete the course by developing a unit of curriculum in a group using Wiggins and McTigh (2005) Understanding by Design. Lastly, they critique both models using the ASIA framework in Squires, D.A. (editor), in press. I describe the Balanced Curriculum in more detail here.

THE BALANCED CURRICULUM MODEL FOR CURRICULUM DEVELOPMENT

The components of the on-line Balanced Curriculum can also be found in (Squires, 2005):

- Courses
- Time-Bound Units
- Significant Tasks (or assured activities)
- Alignment of Significant Tasks to Standards and Assessment Specifications
- Curriculum-embedded Assessment Aligned to State Standards and Assessment Specifications
- A Management System for Tracking a Class's Progress
- A Record of Teacher Comments to Guide Staff Development Planning
- Yearly Curriculum Revision Process

Balanced Curriculum has produced results in all districts that have developed and implemented the curriculum using a Balanced Curriculum (Squires, 2013). A description of each component follows.

COURSES, UNITS AND SIGNIFICANT TASKS GUIDE TIME, CONTENT, AND PROCESS DIMENSIONS OF THE CURRICULUM (CURRICULUM STRUCTURE)

The curriculum is written by the district's teachers/authors to guide instruction. Courses are divided into time bound units so teachers know the pace of instruction. This ensures that all will complete the course. Within the unit, significant tasks or assured activities described by district teachers/authors in a paragraph specify what all district teachers should teach (an objective) and the instructional processes to use. Combining both the objective and how to teach it assures that everyone knows what is expected. The significant tasks take longer to complete than a daily lesson plan and generally encompass two days to two weeks of activities. The unit's significant tasks take approximately 70% of the unit's time. The other 30% is spent however the teacher decides to meet class needs, through remediation or enrichment or both. This allows teachers to manage the creative aspects of instruction.

Forty to sixty significant tasks usually make up a course. But this could be more for early grade levels or less for high school courses. The significant tasks are the teacher's promise that most students will be ready for the following course or grade level because of having accomplished the significant tasks. Below is a sample significant task for a High School English Course.

Box 13.1. Sample Significant Task for High School English.

Students will set up an in-class debate to examine the controversial issues in TO KILL A MOCKINGBIRD. They will have to take a stand on an issue and develop arguments to defend their positions. They will spend time examining the text and providing quotes as evidence to support their claims. They will be able to use their arguments in a structured debate format and setting. Students will give each other feedback on their debates using class generated rubrics.

The time line and accompanying management procedures ensure that principals and other administrators have a record of who has accomplished which units. This can be compared to the time-line in the curriculum to make sure teachers are not taking too long in progressing through the curriculum.

All significant tasks are taught and assessed by all teachers within the time frame of significant tasks taking up 60–70% of a unit's time. This assures that similar content is covered by all teachers and that all students receive the same grounding in the curriculum. All teachers assess the significant tasks in the same way insuring that results of assessments can be compared, so that the teachers who do will on significant task assessment can learn their way into the future, and indicate what strategies produced the good results, which can be the basis for changing the curriculum. In this way, the next time the curriculum is taught, it incorporates the changes implemented from the results of previous assessments.

ALIGN SIGNIFICANT TASKS TO STANDARDS AND HIGH-STAKES ASSESSMENT SPECIFICATIONS (ALIGNMENT)

Alignment of curriculum to standards and high stakes testing provides a powerful predictor of the curriculum's impact, as demonstrated by the many research studies (e.g. Squires, 2009, Wishnick, 1989; Schmidt et. al. 2001; Porter & Smithson, 2001). The significant tasks are aligned by the curriculum authors to state standards and high-stakes assessment specifications. The significant tasks incorporate the vocabulary from the standards by the district's curriculum authors. Then the authors use the website to generate a report showing the author designated alignments for each significant task.

As test results are returned to the districts, districts will need to re-check their alignment of significant tasks to standards for all significant tasks. If there are low scores, then the alignment will need to be checked to see if the correct standards are aligned to the significant tasks. Significant tasks may have to be added so that there is enough emphasis on a particular standard. Or existing significant may need to be reworked in order to fully address the standards. After reworking the significant task, realignment would need to occur. Districts can "buy time" by considering successful test results and by reducing the number of significant tasks aligned to those test results, providing that the individuals making the changes had insured that reducing the number of significant tasks aligned to successfully tested standards was a prudent choice. (If it was not prudent, it can be changed back to the original configuration the next year.) How the significant tasks are aligned to the standards is the key to improving achievement.

BALANCING THE ALIGNED CURRICULUM (CURRICULUM STRUCTURE)

Next, the alignments are summarized by course, so the teachers/authors can determine if the "balance" among the standards is appropriate for the course as a whole.

Inadequate Alignment. After reviewing the information, the curriculum authors might ask why are there no significant tasks addressing given standards? Does the curriculum (via significant tasks) actually address these areas and they are not aligned because other alignments took priority? Was there miscoding of the alignment? Or, did the curriculum (significant tasks) ignore these areas (usually inadvertently), and code others in its place? The teachers/curriculum authors may add or modify significant tasks so these areas can be addressed (Squires, 2005).

Over-emphasized Alignment. The curriculum authors will need to decide whether certain curriculum areas and standards are over-emphasized compared to others. For example, the curriculum authors will need to decide if alignment to five standards is too many. They may reason that because of the emphasis in the state test, coverage is necessary for the five significant tasks. Conversely, they could reason that such emphasis is inappropriate given the unaligned standards. Significant tasks may need to be rewritten for appropriate alignment to take place. This assures that all the significant tasks address the standards and assessment specifications in ways that the district's curriculum authors know is appropriate (Squires, 2005).

ASSESSING THE CURRICULUM (ASSESSMENT)

Each significant task provides an opportunity for assessment. As the significant tasks are aligned to the standards, the assessment for each significant task automatically covers similar territory. Teachers/authors construct a performance assessment for each significant task so students across the district have a standard way of demonstrating performance and teachers have a uniform way of giving and grading the performance. The data from the assessments provide the district with comparable information about students' competence on the significant task and also indicates how well they performed on the aligned standards. The district will need to plan time for assessment and the use of assessment data in the instructional cycle. The district can use assessment reports aggregated by school, task or aligned standards. Such data can be used in recommending improvements to the curriculum or in grade level professional development.

Another type of assessment required in the Balanced Curriculum, the Format Assessment, provides all students with the once-per-unit opportunity to practice using the same format as the high stakes state test. The format assessment is usually in the form of a quiz. As the format assessments usually occur at the end of units, extensive test preparation is no longer necessary before the high-stakes test. Spaced practice is a better way to learn to take tests than through massed practice, often anxiety provoking practice right before the state assessment (Squires, 2005).

The two assessments provide yet another way to improve curriculum and student achievement. If standardized test results do not address a particular standard, then I would expect that the results from the content assessment would not be good as well. If the results of the format assessment are good, but the results of the standardized test are poor, then the assessment is not doing a good job of predicting achievement on the standardized test and will need to be changed and made more difficult for the following year. If the results of the content assessment are not good and the results of the standardized test are satisfactory, then the assessment would need to be made easier. The bottom line is that content assessments should predict the results on standardized assessments.

The same is true of format assessments, except this tells us whether the students are familiar with the format of the standardized test. If results from the format assessment are positive, and the performance on the standardized test was negative, then I would suspect that either the format assessment was not well aligned, or that the format assessment was too easy.

The two tests can also be looked at in combination. If students scored low on the standardized test, then I would expect low scores on both the format and the content assessment. If there are low scores on the standardized assessment, and low scores on the content assessment yet high scores on the format assessment, one interpretation might be that the students knew how to answer the question, but had not received enough reinforcement during the unit to get the content under control. Then, the curriculum authors would need to revise the significant task so it addressed the content better. Assessment should be a good way to predict good results on the standardized test.

IMPLEMENTING THE CURRICULUM (CURRICULUM IMPLEMENTATION AND INFRASTRUCTURE)

The district must plan strategies to ensure that the curriculum is actually implemented by the district's teacher. This is especially crucial that teachers are teaching the significant tasks. This assures that teachers are held accountable for the curriculum. As all teachers use the same significant tasks for a course, tracking a teacher's progress is as easy as keeping track of the significant tasks a teacher teaches. On the Balanced Curriculum website where the curriculum is located, teachers can log in and check off their completed significant task, view their own completion record, but cannot view other's completion records. Principals can check the progress of all teachers in their buildings. Appropriate district staff can access completion information across district schools, for example the curriculum director, providing easily accessible information for managing student learning, without micro-managing the teacher's instruction.

This can also lead to improved achievement. If all teachers are using the management system, it is easy to see who did not get to various significant tasks. If students did not receive instruction in a significant task, then they should not have done well on the standards aligned to the significant task. If this is so, administrators will need to develop a plan with the teacher to make sure next year, all significant tasks are taught.

Modifying the Curriculum (Curriculum Structure)

The curriculum plan now generates data so the curriculum can be modified based on the data. In modifying the curriculum, teachers and administrators need to ask questions of the data, as shown by the following questions shown in Table 13.1.

By modifying the curriculum on a yearly basis, districts can assume that the curriculum for the following year will yield better student achievement.

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Table 13.1. Using Data Generated by Curriculum Implementation.

Data Source	Questions data can help to answer
Alignment of Significant Task to Standards	Are all standard areas covered?
The Balance of the Curriculum	Does the existing balance of alignment with the standards promote increased achievement?
Significant Task Assessments	Do significant task assessments align with high-stakes assessment?
Format Assessments	Do format assessments align with high-stakes assessments?
Completion Information	Which significant tasks had low/high completion ratings? Did these correlate with test results?
High-stakes/Standardized Test Results	For areas of low results, should the district increase emphasis on that area through more significant tasks and/or more time devoted to the aligned units/significant tasks?

Chapter Fourteen

Educational Technology Leadership for Educational Leaders

An Integrated Technology Leadership Model

Sousan Arafeh

This chapter is based on the premise that the field of educational leadership has not yet appropriately focused on the technological development of educational leaders (McLeod, Bathon, and Richardson, 2011; Schrum, Galizio & Ledesma, 2011). There can be no doubt that technological advances and applications rage on, requiring responses from educational systems and their leaders. Yet, educational leadership development is lagging. As McLeod et al. note, their research shows “that scholars, researchers, and practitioners in the field of educational leadership are rarely exposed to issues of school technology leadership. Thus, the question begs to be answered: how are school leaders becoming technology leaders if the field of educational leadership has yet to embrace this change…?” (p. 237).

It may be that this is the case because a comprehensive technology leadership framework for educational leaders and educational leadership preparation programs has not yet been advanced. This chapter reviews key models of technology leadership (Anderson & Dexter, 2011; Davies, 2010; Flanagan & Jacobsen, 2003; ISTE, 2014) and argues that, while each has strengths, none sufficiently captures the broad range of knowledge and skill required to lead technology planning, integration, and evaluation. A more robust, holistic, detailed, and integrated model is needed.

To remedy this situation, I propose an integrated “Technology Leadership Model” that can serve as a guide for orienting new and seasoned educational leaders to the foci and responsibilities of educational technology leadership in their schools. The Model is both outlined and contextualized in this chapter, which is intended as a document that schools of education and departments of educational leadership can assign to provide candidates with a broad understanding of the technical, political, resource, and instructional aspects of the education technology landscape that leaders must consider and address. School-building level technology is the chapter's primary focus. However, school technology is reliant on district, state, and even national infrastructures, budget considerations, and device/software affordances. The Technology Leadership Model's elements cross these system and leadership domains.

I believe a technology leadership orientation and model directed at educational leaders are needed for a number of reasons. First, "educational technology" has tended to be talked about in monolithic ways; but, "educational technology" is not one thing. It is many different things—hard-wired & wireless infrastructure; home-based, lab-based, classroom-based, and personal devices; device-located and cloud-based software/apps; input/output accessories; and so on. All of these are differentiated for specific uses, audiences, and impacts. Yet, the way that we tend to talk about "educational technology" in research, media, and practice lumps much together. Second, until very recently, most educational technology talk and research have been focused on instructional uses, curricular and pedagogical integration, and supports for teacher learning and implementation. However, technologies for administration and safety comprise a significant portion of the technological needs and considerations for any school or district. When talking about technology leadership, these technologies must be foregrounded because they comprise a significant portion of leaders' technology landscape. Third, while the technical and technically administrative aspects of acquiring and using technology for education are significant, these have typically been considered the purview of state, district, and building technology staff. Yet, educational leaders have an important role in the effective advancement and use of technology within their schools because such leaders need to make policy and instructional decisions, for example, that cannot be left to only technical staff (Anderson, 2005; Daniel & Nance, 2002; Mcleod, Bathon, & Richardson, 2011; Nance, 2003; Webb, 2011). These administrative responsibilities become exponentially more significant as technology infrastructure, devices, and applications increase their contributions to effective educational delivery.

It is my hope that this chapter, and the Technology Leadership Model it advances, will provide a clear orientation to the broad range of technology concerns administrators face within schools that fall under their purview.

THE TYPICAL STORY OF THE EDUCATIONAL TECHNOLOGY LANDSCAPE

National and local policies; advancements in communications network, device, and software technology; and consumer demand have all contributed to technology becoming deeply integrated into our personal and commercial lives. Since the mid-1980s, both the K-12 and postsecondary education sectors have driven, and responded to these developments; in part, by acting as demonstration sites for hardware, software, and applications; and as hubs of infrastructure connectivity for families and communities.

The growth of technology, and its increasing intersection with education, has been staggering. In 1991, when the Clinton administration advanced its National Information Infrastructure initiative as part of the High Performance Computing Act of 1991, only 15 percent of households reported having computers—nearly double the households reported in 1984 (8.2%) (U.S. Census, 1984 & 1989). In 1981, a mere 18 percent of U.S. schools had one or more computers. By 1987, 95 percent of schools reported one or more computers—one computer for every 30 students in a school on average, but with widely disparate access and use by school (U.S. Congress, 1988). In 1994, only 35 percent of K-12 schools, and 3 percent of instructional rooms, had Internet access. By 1998, connectivity rose to 89 percent of schools and 51 percent of instructional rooms (U.S. Department of Education, 1999).

Recent computer penetration and Internet access statistics are impressive. In 2008, schools boasted 15.5 million computers throughout the nation with a 98 percent Internet connectivity rate—roughly 190 computers per school and a 3:1 student to computer-with-Internet access ratio (U.S. Department of Education, 2013). A major change in the K-12 education landscape has been the degree to which online education has progressed. An estimated 275,000 students were enrolled full-time in full-time online schools in 2011–2012 and over 1.8 million students were enrolled in distance education courses in 2009–2010 from their existing schools (iNACOL, 2013).

The current technological development of wireless networks, smartphones, tablet devices, and the “apps” that run on them are changing the communications landscape irrevocably in ways that are affecting education. According to a Pearson survey conducted by Harris Interactive (2013), approximately one-third of students in elementary, middle, and high school say that they have used a tablet for schoolwork in the past year. Fifty-two percent of these students report owning their device and 28 percent share a device with their families—a total of 80 percent of students using non-school devices. Teachers, too, are reporting increasing use of the Internet, mobile phones, and tablets for their classroom preparation and assignments as well as professional development and networking (Pew Research Internet Project, 2013b).[1]

From a national policy perspective, the Obama Administration has made it very clear that developing U.S. technology infrastructure and use is a national priority. As a result, a number of initiatives have gone forward, including "ConnectED," which strives to connect 99 percent of U.S. schools to broadband infrastructure and train teachers in technology use for instructional and professional advancement so that state of the art hardware, software, content, and reach can be leveraged and used educationally and in commerce (White House, 2014).

This typical story of the educational technology landscape usually has four facets: a *technical facet* that focuses on the technological tools available for personal and educational use; an *instructional facet* that focuses on curricular content and pedagogical approaches to teaching and learning in the classroom; a *commercial facet* focused on product development, sales, and purchasing; and an *evaluative facet* focused on assessing and monitoring technologies or the settings and people with which they are being used. What is typically missing from this landscape as it is discussed in research, professional journals and magazines, and in certain media and commercial venues, is the *administrative context*—the material and practical fields through which these others activities take place. This missing context makes it difficult to clearly understand what technology leadership entails and consists and, among other things, this administrative-less conception is reflected in the literature and educational leadership development programs and approaches.

More on the Educational Technology Landscape: Administrative Context and Technology Leadership

> The evidence is clear that most of us are neglecting digital technologies in our [educational leadership] preparation and scholarship (McLeod & Richardson, 2011, p. 3).
>
> ….[W]e must extend ourselves further to accomplish the more difficult work of preparing school leaders who understand what it means to transform student learning environments in ways that are technologically rich, meaningful, and powerful…There is "a significant difference between our traditional educational leadership coursework (that is occasionally delivered online) and coursework that puts technology and twenty-first-century skills leadership *at its core* [emphasis added]" (McLeod, 2011, p. 4).
>
> Educational leadership faculty must adjust their daily research and preparation work to reflect these technology-related societal and educational changes (McLeod, Bathon, & Richardson, 2011, p. 293).

The quotes above are fairly strong in their incrimination of educational leadership programs and faculty. Despite the fact that technology is advancing rapidly and changing what it means to live, work, and school in the twenty-first century; technology has not yet "arrived" as a core topic in the preparation of education of educational leaders. McLeod and Richardson (2011) argue a new field of study is needed—school technology leadership—uniting the "the fields of school leadership and educational technology…" (p. 218). Hess and Kelly (2007) and Schrum, Galizio, and Ledesma (2011) agree. In these empirical attempts to show the degree to which educational leadership does or does not include a focus on preparation for use of, and leading for, technology integration, they found that there is very little concerted attention.

McLeod and Richardson (2011b) reviewed educational leadership conference presentations and peer-reviewed journals to determine whether, how, and how much technology for educational leadership was advanced in these professional venues. The authors found that 78 of 3,673 American Educational Research Association (AERA) presentations between 1997 and 2009, or 2.12 percent, intersected technology and educational leadership; 120 of 4,080 UCEA presentations, or 2.94 percent, intersected technology and educational leadership; and 207 of 2,798 presentations, or 7.4 percent, intersected technology and educational leadership. Out of 1,247 journal articles published between 2000 and 2009 in the top twenty-five educational leadership and/or technology journals, only 43 articles focused on technology leadership.

A content analysis of these articles revealed the following thirteen themes: technology integration, staff development, policy, international, technology tools, the digital divide, ethics/law, vision, standards, data-driven decision making, online learning/distance education, preservice preparation, and management/operations. Themes that were not addressed, but should have been because they are evident in the field were: digital age learning cultures, learning communities for innovation and creativity, recruiting and retaining technologically savvy teachers, digital citizenship, online learning, school management systems, national standards, preservice leadership preparation social networking, disruptive innovations, Web 2.0 tools, and handheld computing. The study found that "there is a limited meaningful literature base on school technology leadership. We cannot say that we know what effective technology leadership practices look like in elementary and secondary schools. We simply do not have enough high quality research to inform best practice" (p. 236). There is a "dearth" of content and pedagogy for technology leadership.

Hess and Kelly (2007) and Schrum, Galizio, and Ledesma (2011) corroborate this conclusion. Hess and Kelly's review of 210 syllabi from thirty-one educational leadership programs found that "technical knowledge" was addressed in about 30 percent of course weeks in the schools and programs reviewed. Technical knowledge was defined quite broadly in this study, however, and included knowledge on "school law, school finance, facilities management, data training, research, technology, and related concerns like meeting coordination and food and transportation services" (p. 14). Elite programs spent the least time of all programs reviewed focused on "data, research skills, and technology" (five percent of course weeks) while large and typical sized programs spent 27 percent and 32 percent of time on these topics respectively.

Schrum, Galizio, and Ledesma (2011) explored requirements for state administrator certification and licensure, as well as educational leadership course content, and found that technology experience and knowledge are patently not advanced as core leadership competencies. Only two states—Michigan and New Mexico—have formal requirements that certification candidates demonstrate technology knowledge for instructional leadership and data purposes. 92 percent of the institutions reviewed offered no courses that mention technology in their syllabi and, of the seven percent that mention "data," data is interpreted broadly to include "data-driven decision making, supporting school management, arranging schedules, analyzing test results, or fostering school improvement" (p. 246). Technology integration for teaching and learning is not a strong focus. Rather, administrators report learning about technology, and providing technology-related direction to staff, on their own.

This evidence would suggest that the role of "technology" or "educational technology" in relation to the roles and responsibilities of educational leaders has still not been well documented or theorized. "Technology" is advanced as a monolithic and all-encompassing construct that makes it difficult to tease out what types of use and tool exposure educational leaders experience and/or should experience as part of their pre-service and in-service training. As well, there is little framing for how technology-focused content or instruction might be organized in such programs. McLeod, Bathon, & Richardson (2011) provide some guidance by suggesting that the technology focus in educational leadership programs tends to fall into the following three areas:

- "Using digital technologies to teach traditional educational leadership content;
- Training school administrators to better use digital technologies; and
- Preparing school administrators to be better technology leaders" (p. 296).

McLeaod et al. particularly draw attention to the last category: training educational leaders for technology leadership. They argue that, even when leadership preparation programs use technology to deliver content and support leader candidates in their own exposure to, and use of technology, this does not necessarily prepare candidates for, or result in them being effective at, technology leadership. The authors ask "what effective *leadership* in the domain of school technology looks like" (p. 294). This is a significant question that requires more detailed consideration, and more formal frameworks for understanding, than provided to date. What little research has been conducted on the topic seems to suggest that technology leadership has more influence on technology outcomes than technical infrastructure and/or fiscal expenditures (Anderson & Dexter, 2011; Dawson & Rakes, 2003; ISTE, 2014; Ritchie, 1996; Stegall, 1998). While this is good news, on the one hand, the fact that "technology leadership" and "technology outcomes" are not clearly differentiated makes it difficult to fully understand what technology expectations are being held out for educational leaders; what technology goals are being sought; and what technology tools, systems, knowledge, and skills need to be developed as part of core technology leadership preparation.

THE TECHNOLOGY LEADERSHIP MODEL: A FRAMEWORK TO GUIDE THE TECHNOLOGICAL DEVELOPMENT OF EDUCATIONAL LEADERS

As noted earlier, it is my belief that current models of technology leadership (Anderson & Dexter, 2011; Davies, 2010; Flanagan & Jacobsen, 2003; ISTE, 2014) do not sufficiently capture the broad range of knowledge and skill required to lead technology planning, integration, and evaluation. A new framework of technology leadership is needed. In this section, then, the above models of technology leadership are explored and a "Technology Leadership Model" is proposed to serve as a guide for orienting new and seasoned educational leaders to the foci and responsibilities of educational technology leadership in their schools.

ISTE's Standards for Administrators: To date, the International Society for Technology in Education's (ISTE's) Standards for Administrators (formerly NETS-A Standards) have been the gold standard framework for the technology-related competencies of students, teachers, and administrators. They not only "set a standard of excellence and best practices in learning, teaching and leading with technology in education," for administrators, the ISTE standards are "the standards for evaluating the skills and knowledge school administrators and leaders need to support digital age learning, implement technology and transform the instruction landscape" (ISTE, 2014). In effect, these standards comprise a model. Specifically, they advance the following 5 competency areas: visionary leadership, digital age learning, excellence in professional practice, systemic improvement, and digital citizenship. Each area has specific sub-areas that, together, combine to frame a landscape and set of expectations for administrative engagement with technology.

While these standards advance an excellent range of aspirational competencies and measurable behaviors, they do not provide a clear organizational structure for understanding the key infrastructures and elements involved foundationally. Thus, as a guide to technology leadership, the standards conflate certain constructs in ways that may be confusing, particularly to new leaders and leaders in training. For example "systemic improvement" is framed as leading change in regards to human, technical, organizational, and evaluative areas. However, these areas refer to quite different "systems" which each require different approaches. The ISTE model is fairly comprehensive and well-intended. It is a complex model that integrates levels and layers of system, infrastructure, component, behavior and skill in ways that make it difficult to see constitutive elements and how they fit together.

ISTE STANDARDS FOR ADMINISTRATORS [WITH TRUNCATED SUB-AREAS]

1. Visionary Leadership

a. maximize resource use based on goals
b. technology-infused strategic plans
c. advocate for local, state, and national policies, programs, and funding

2. Digital Age Learning Culture

a. instructional innovation and continuous improvement of digital age learning
b. modeling and promoting technology for learning
c. learner-centered technology rich environments and resources
d. effective practice and study for technology infusion curriculum
e. participation in communities for collaboration

3. Excellence in Professional Practice

a. time, resources, and access for professional growth in technology fluency and integration
b. learning communities
c. communication and collaboration using digital age tools
d. educational research for trends and evaluation

4. Systemic Improvement

a. lead purposeful change to achieve learning goals
b. establish metrics and collect and analyze data to improve
c. recruit and retain competent personnel
d. establish and leverage strategic partnerships

e. establish and maintain robust infrastructure

5. Digital Citizenship

a. equitable access
b. policies for safe, legal, and ethical use
c. promoting model, responsible social interactions
d. development of shared cultural understanding and involvement in global issues

Anderson and Dexter's (2011) *Model of Technology Leadership:* Anderson and Dexter argue that "[r]efinement of the conceptual dimensions of technology leadership would help to address the challenge of optimally defining how technology leadership and resources interact" (p. 73). These authors focus on distributed leadership (Fullan & Stiegelbauer, 1991) within a theoretical orientation of the learning organization (Senge et al., 2000) as the primary way technology leadership can be most effective. Thus, they propose a "Model of Technology Leadership." The model consists of three main elements: infrastructure, technology leadership, and technology outcomes. Under the infrastructure element, the authors include the sub-elements of Internet use, technology integration, and student tool use. Under the element of technology leadership, sub-elements include the technology committee, the school technology budget, district support, principal e-mail, principal days (on technology), staff development policy, grants, intellectual property policy, and other policies. Under the technology outcomes element are the sub-elements of Internet use for e-mail and the Web, technology integration, and student tool use. Anderson and Dexter's model hinges on its first and third elements: inputs/supports (the technology infrastructure) and outputs/behaviors (what gets done with such technology). Technology leadership, the authors argue, is the activity that bridges these inputs and outputs. Technology leadership consists of the governance bodies and policies that structure them.

While this is a logical model because of its linearity and process-orientation, it seems to conflate and, in some cases, altogether miss the core components and behaviors that both comprise and take place in each "phase." Inclusion of the Technology Committee, Principal Email, and Intellectual Property Policy to the exclusion of, say, safety policy or District technology inputs and supports seems sparse and not quite explanatory enough. The Anderson and Dexter Model of Technology Leadership needs more conceptual organization and communication to be helpful to administrators. Currently, the model is more gestural. It alludes to key issues, but does not effectively string them together.

Davies' (2010) Extended Model of Educational Technology Leadership: In Figure 14.1, Davies posits an "extended model of educational technology

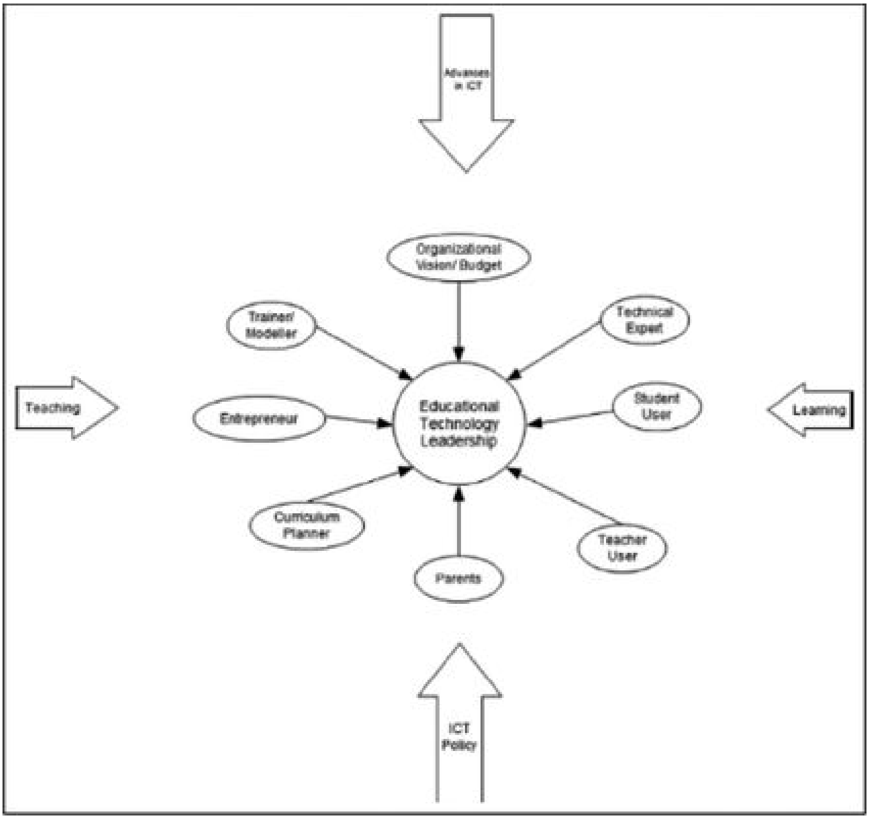


Figure 14.1. An extended model of educational technology leadership. Davies, 2010, p. 59.

leadership.” In this model, context is highlighted through the inclusion of teaching, learning, advances in information and communications technology (ICT), and ICT policy. These influences affect the eight components of leadership, namely organizational vision/budget, technical expert, student user, teacher user, parents, curriculum planner, entrepreneur, and trainer/modeler. I find this model compelling because it does include key actors and factors related to technology leadership. That being said, the model does not differentiate between human users of technical systems and devices and leadership behaviors that good technology leaders will display. Thus, for educational leadership students and practicing educational leaders, this model confuses and conflates disparate factors and activities in ways that compromise its effectiveness as a guide for envisioning and undertaking technology leadership.

Flanagan and Jacobsen's (2003) Role Responsibilities and Goals of Technology Integration—Flanagan & Jacobsen argue that "technology leadership is much more than resource acquisition and management….[it] has multiple dimensions given the complexity of schools as learning organizations" (p. 124–125). In their model (see Figure 14.2), they highlight the goals of technology integration—introducing, managing, and assessing technology—and the roles & responsibilities in shepherding the goals. The authors figure the roles/responsibilities in terms of leading in the following areas: learning, student entitlement, resource management, community, and capacity building. They posit five elements of "successful ICT integration:" equity of access, student engagement, shared vision, ubiquitous networks, and effective professional development.

This model states that it is focused on describing roles, responsibilities, and goals of technology integration. The issues and constructs it identifies in this regard are excellent; yet, the model still tends to confuse category types. For example, the three "goals" of technology integration—introducing, man-

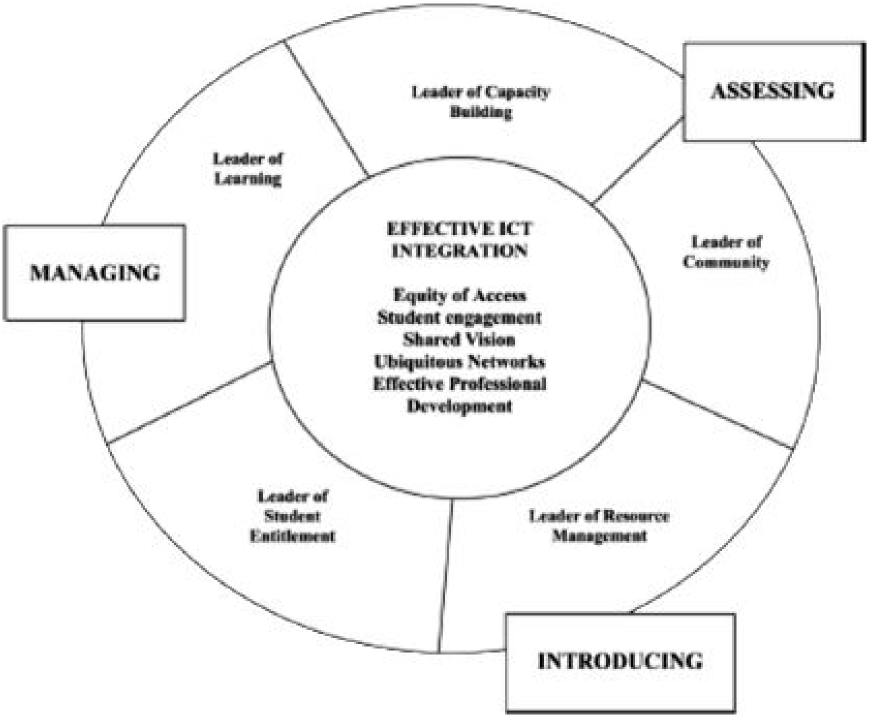

Leader of Capacity Building
ASSESSING
Leader of Learning
EFFECTIVE ICT INTEGRATION
Equity of Access
Student engagement
Shared Vision
Ubiquitous Networks
Effective Professional Development
Leader of Community
MANAGING
Leader of Student Entitlement
Leader of Resource Management
INTRODUCING

Figure 14.2. Role responsibilities and goals of technology integration. Flanagan & Jacobsen, 2003, p. 132.

aging, and assessing—are less goals than they are process. The elements of effective integration are fully appropriate, but some are states of being (e.g., equity of access, student engagement), some are focused tasks (e.g., shared vision, effective professional development), and some are things (e.g., ubiquitous networks). There is no sense of whether and how these integration elements should be differentiated or why other key integration elements might be absent (e.g., curricular integration). The five roles are extremely helpful as structuring concepts for technology leadership, particularly when accompanied by the list that show what responsibilities go along with each role. While not exhaustive, this model is illustrative and begins to get at some of the more focused roles, responsibilities, knowledge, and skills educational leaders need to effectively lead the increasing integration and effective use of technology in their school buildings. Again, however, there is no differentiation regarding the types of technology that are appropriate in each role area, for example, or why certain roles, such as leading student entitlement, are not figured more broadly to include teachers, staff, parents, and other key stakeholders.

Leader of Learning:

- To encourage teachers to reflect on and continuously improve their practice;
- To provide meaningful learning opportunities for all–teachers, students, support staff and parents;
- Improved student ability to solve problems, collaborate, and use technology to support the construction of knowledge.

Leader of Student Entitlement:

- To ensure equitable access to technology resources and learning opportunities for all students;
- To use technology in ways that support democratic principles.

Leader of Capacity Building:

- To develop a shared vision for the use of ICT and learning;
- To develop leadership capacity in all members of the school community;
- To establish a climate that encourages risk-taking, creativity, and collaboration.

Leader of Community:

- To gain community support for ICT integration;

- To involve parents in the decision-making process;
- To use technology to improve communication between school and community.

Leader of Resource Management:

- To provide students and teachers with the technology resources necessary for achieving the ICT outcomes;
- To develop computer networks that support inquiry in collaboration;
- To ensure that equipment is available to teachers and students whenever it is needed.

ARAFEH'S TECHNOLOGY LEADERSHIP MODEL

In response to these models, and as a way to more explicitly and holistically frame the landscape of technology so that educational leaders can see and then engage with the many interrelated elements required for successful technology integration and use within a school building or district, I have developed a Technology Leadership Model that is more conceptually consistent and inclusive of those technical, instructional, administrative, resource, and behavior-based elements and activities that undergird technology's effective use.

The model, depicted in Figure 14.3, and further articulated in Table 14.1, is based on the explicit presentation of six different *infrastructure types* necessary for effective engagement with technology: technical infrastructure, human infrastructure, resources infrastructure, context infrastructure, core business infrastructure, and communications infrastructure. Each of these infrastructures is further subdivided into constituent *key elements* and *sub-elements*, and then all are underpinned by ongoing *core and overarching practices* (see Table 14.1).

The benefit of a model of this kind is that it strives to provide both a high-level and detailed view of the complex and interrelated things, processes, people, and behaviors that comprise "educational technology;" thus helping new and seasoned educational leaders "see" the many diverse and differentiated elements involved within it. In addition, however, the model adds value to the initial conceptualization it offers by further identifying constituent sub-components and examples. Lastly, the model separates out those "core and overarching practices" in which effective and successful technology leaders will engage as they shepherd these various other processes and people.

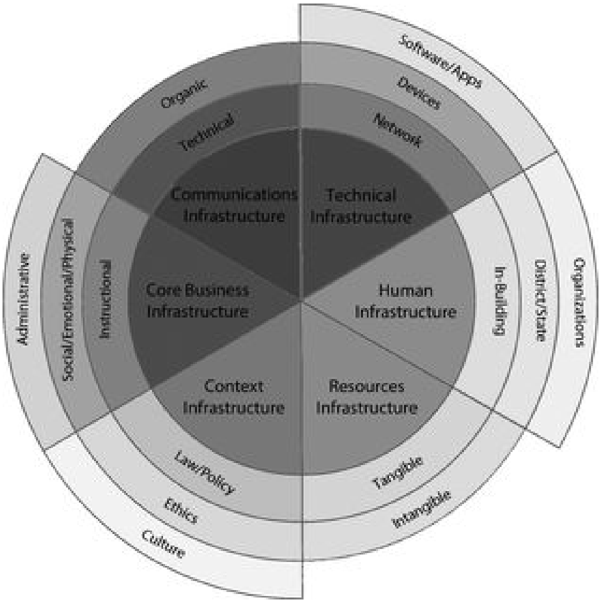
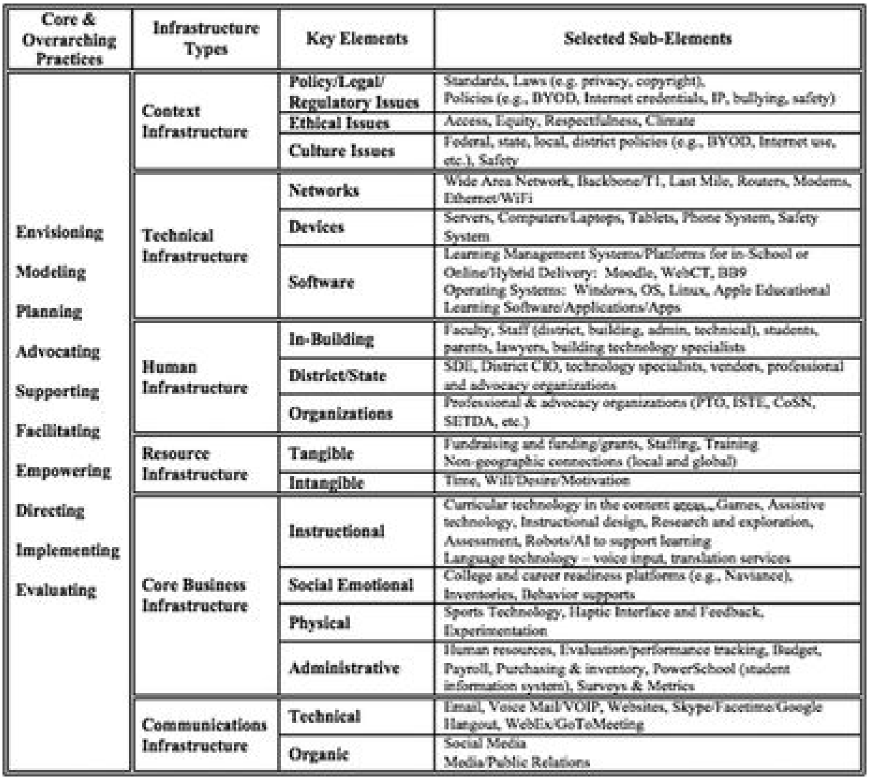


Figure 14.3. Arafeh's Technology Leadership.

CONCLUSION

The increasing influence of technologies and technology-supported tools is undeniable. Globally, our personal and professional lives have been forever changed by the telegraph, telephone, computer, Internet, and tablet/smartphone. As innovation advances, there are devices and applications we cannot even yet imagine that will change what we know about, and can do in, the world. Both K-12 and higher education systems have been navigating these new technologies—trying to understand, incorporate, evaluate, and improve their use in the delivery of compelling and effective educational content for learning outcomes infused with excellence and utility. There can be no doubt that educational leaders are key shepherds and drivers of technology adoption and use; yet, as we have seen, our educational leadership programs and ongoing in-service development opportunities are not providing these leaders with strong technology leadership knowledge, skill, and experience.

The Technology Leadership Model proposed here strives to offer a comprehensive, but simplified, map of the technology landscape educational leaders travel and must be aware of. The model is intended to be used as a guide, a conversation starter, a point of departure, and a goad. Of course, not every leader will have deep knowledge or facility with all of the infrastruc-



Core & Overarching Practices	Infrastructure Types	Key Elements	Selected Sub-Elements
Envisioning Modeling Planning Advocating Supporting Facilitating Empowering Directing Implementing Evaluating	Context Infrastructure	Policy/Legal/ Regulatory Issues	Standards, Laws (e.g. privacy, copyright), Policies (e.g., BYOD, Internet credentials, IP, bullying, safety)
		Ethical Issues	Access, Equity, Respectfulness, Climate
		Culture Issues	Federal, state, local, district policies (e.g., BYOD, Internet use, etc.), Safety
	Technical Infrastructure	Networks	Wide Area Network, Backbone/T1, Last Mile, Routers, Modems, Ethernet/WiFi
		Devices	Servers, Computers/Laptops, Tablets, Phone System, Safety System
		Software	Learning Management Systems/Platforms for in-School or Online/Hybrid Delivery: Moodle, WebCT, BB9 Operating Systems: Windows, OS, Linux, Apple Educational Learning Software/Applications/Apps
	Human Infrastructure	In-Building	Faculty, Staff (district, building, admin, technical), students, parents, lawyers, building technology specialists
		District/State	SDE, District CIO, technology specialists, vendors, professional and advocacy organizations
		Organizations	Professional & advocacy organizations (PTO, ISTE, CoSN, SETDA, etc.)
	Resource Infrastructure	Tangible	Fundraising and funding/grants, Staffing, Training Non-geographic connections (local and global)
		Intangible	Time, Will/Desire/Motivation
	Core Business Infrastructure	Instructional	Curricular technology in the content areas., Games, Assistive technology, Instructional design, Research and exploration, Assessment, Robots/AI to support learning Language technology – voice input, translation services
		Social Emotional	College and career readiness platforms (e.g., Naviance), Inventories, Behavior supports
		Physical	Sports Technology, Haptic Interface and Feedback, Experimentation
		Administrative	Human resources, Evaluation/performance tracking, Budget, Payroll, Purchasing & inventory, PowerSchool (student information system), Surveys & Metrics
	Communications Infrastructure	Technical	Email, Voice Mail/VOIP, Websites, Skype/Facetime/Google Hangout, WebEx/GoToMeeting
		Organic	Social Media Media/Public Relations

Table 14.1. Component Detail of Arafeh's Technology Leadership Model.

tures or key elements outlined by the model. Nor will leaders necessarily demonstrate confidence and/or competence with each of the core and overarching practices identified. Much of the work outlined in this model is the purview of other individuals or organizations with which educational leaders, as technology leaders, interact. In these instances, effective educational leaders delegate, rely on expertise, listen and decide based on information gathered and vetted by others. In order to lead well in such distributed leadership situations, leaders need to have, at the very least, a conceptual sense of the terrain, issues, and resources with which they are dealing. As indicated, not only has educational leader preparation tended to overlook technology topics in programs and workshops, what models of technology leadership do exist are not complete or robust enough to give burgeoning leaders a clear sense of this aspect of their purview in order to effectively determine the best ways to address it. It is my hope that the Technology Leadership Model proposed here moves our understanding of technology leadership forward and contributes increased clarity for advancing and improving technology-supported educational design and delivery in the field.

NOTE

1. These numbers belie a persistent and important gap in computer, mobile phone, tablet, and Internet access and use, however. Lower income adults and families, many of whom are non-White and non-English speaking, do not have easy access to the digital world. One third of adults who earn less than $20,000 annually do not go online at all. 45 percent of adults who earn $30,000 or less go online with their cellphones. This home-based lack of connectivity impacts students at school who are expected to use digital tools to conduct and complete their assignments (Pew Research Internet Project, 2013b).

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Index

21st century, 12, 14, 88, 107, 136, 162, 256

A Nation at Risk, 17, 104
Anderson & Dexter’s Model of Technological Leadership, 261
andragogy, 4, 29, 30, 34, 40, 41
Arafeh’s Technology Leadership Model, 265
ASEL, 4, 45
ASEL competencies, 47, 50, 53, 55, 56
ASEL programs, 50, 55

behaviorism, 30
best practice,4.58 7.15 8.45 9.1 9.18 12.63 14.18 14.28
Big ‘P’ Policy, 10, 20
Blueprint for Reform, 12, 17
Brown vs. Board of Education, 64
budget, 62, 253, 261, 262, 267

change agent, 4, 67, 72
civic engagement, 8
cognitivism, 30
Coleman Report, 17
collaboration, 11, 36, 37, 38, 39, 40, 53, 71, 98, 99, 169, 170, 171–172, 215, 218, 219, 227, 260, 265
Collaborative for Academic, Social, and Emotional Learning (CASEL), 47, 50, 55, 56
collaborative learning, 37
Common Core of Leading-Connecticut School Leadership Standards, 64, 74
communication, 255, 261
comprehensive pathways assessment, 46, 57, 58
concept attainment, 73
ConnectED Initiative, 256
Connecticut Demographics, 5, 68
connectivity, 122, 128, 255, 268n1
conscientization, 73
consciousness, 66, 67, 72, 73, 103, 113, 123, 128, 129, 134, 136, 199
constructivism, 30
Core knowledge, vi, ix, xi, 3, 5
critical consciousness, 73
Critical Race Theory, 5, 62, 71

Davies’ Extended Model of Educational Technology Leadership, 261
declarative knowledge, 28
differentiated policy knowledge, 13
differentiation, 12, 22, 33, 214, 238, 241, 263
digital age learning culture, 260
digital citizenship, 257, 259, 261
distributed leadership, 66, 261, 268

education policy, 7, 9, 16, 63, 127, 240
educational technology, 253, 255, 256, 257, 261

educational technology landscape, 255, 256
Elementary and Secondary School Act, 17
emotional intelligence, 4, 46
equality, 17, 62, 67, 68, 71, 73, 74, 76n7, 103, 137n4
evaluating ASEL programs, 55
excellence in professional practice, 259, 260

federal funding, 12
federal policy, 12
feminism, 15, 62
fidelity, 55, 211, 213, 223, 227
Flanagan & Jacobsen's Role Responsibilities and Goals of Technology, 263
Foundation of Education Standards, 10, 12, 13, 15, 16, 18, 20, 21, 22, 74, 104, 118, 128

governance,1.0 1.16 1.31 2.32 2.48 7.7 14.57
government,1.14 1.23 1.34 1.38 1.47 1.53 1.57 4.57 6.5 6.99 7.23 7.32 2 9.41 10.149 12.27

High Performance Computing Act, 62
hypersegregate, 69

inequity, 71
information and communications technology (ICT), 262, 263, 264, 265
infrastructure, 245, 251, 253, 255, 256, 258, 259, 261, 265, 267, 268
infrastructure types,14.83
injustice, 63, 65, 72, 73
institutional racism, 69, 70
instructional leadership, 11, 12, 29, 39, 66, 74, 99, 107, 163, 258
Integrated Individual ASEL Assessment Profile (IIAAP), 57
integrated technology leadership model, 183, 253, 254, 259, 265, 266
ISTE's Standards for Administrators, 67

Lasswell, Harold, 14
law, 8, 10, 13, 21, 118, 171, 240, 257, 258, 267
Leader of Capacity Building, 264
Leader of Community, 264
Leader of Learning, 264
Leader of Resource Management, 265
Leader of Student Entitlement, 264
leadership interpretations, 66
learning theory, 4, 27, 28, 29, 32, 34, 38, 39, 41, 167
legislation, 8, 10, 16, 17, 21, 63, 104
literacy, 3, 89, 92, 104, 123, 131, 243
Little 'P' Policy, 10, 20

mobile phones, 255
motivation, viii, x, 28, 29, 30–31, 32, 33, 39, 41, 51, 62, 66, 72, 85, 92, 98, 100, 127, 128, 141, 154, 155, 156, 199, 217, 267

National Assessment of Educational Progress (NAEP), 9, 12, 47, 54, 112
National Information Infrastructure Initiative, 255
National Policy Board of Educational Administration, 162
National Council for Accrediting Teacher Education (NCATE), 162, 163, 165, 171
neuroscience, 48, 49
No Child Left Behind (NCLB), vii, 17, 88, 104, 118, 131

overarching practices, 265, 268

Partnership for Assessment of Readiness of College and Careers (PARCC), 12
Pathways Assessment Profile (PAP), 58
pedagogy, 4, 13, 29, 30, 34, 35, 40, 41, 62, 67, 69, 71, 72, 74, 94, 99, 103, 162, 257
peer-assisted learning, 28, 33
policy actors, 8, 17, 18, 19, 20, 22
policy advocacy, 9
policy analysis, 13, 15, 19
policy cycle, 19
policy foundations, 9
policy history, 14
policy knowledge, 3, 7, 8, 9, 13, 14, 21, 22
policy literacy, 21, 22
policy model, 4, 18, 20
policy practices, 7, 10

policy process,1.27 1.32 1.48 1.50 1.53
policy sciences, 14, 15
policy studies, 14, 15
policymakers, 4, 74, 134
politics, 16, 20, 61, 97, 127
populations, viii, 46, 99, 109, 182, 235, 237, 240, 241
poststructural, 15
power, 14, 16, 18, 19, 62, 65, 70, 71, 76n6, 113, 124, 127
pro-social behavior, 52, 98
Programme for International Student Assessment, 12
public policy, 3, 4, 10, 14, 16, 21

racism, 4, 69, 70, 71, 73, 91, 127
readiness, ix, 32, 35, 37, 88, 89, 90, 91, 92, 142, 143, 153
relationship skills, 4, 47, 48, 50, 52
relevance, vi, 32, 35, 66, 121
responsible decision making, 4, 47, 48, 52

SAFE Process, 51
Scheff v. O'Neill, 64
school culture, viii, ix, 28, 40, 87, 94, 99, 103, 109, 118
Science, Technology, Engineering and Mathematics (STEM), 17
segregation, 69, 70, 75n1
self-awareness, 4, 47, 62, 63
self-management, 4, 47, 50, 52
signature pedagogy, 3, 162
Smarter Balanced Assessment Consortium (SBAC), 12
social and emotional learning, viii, 45, 46, 52, 53, 56
social awareness, 47, 48, 52
social context of schooling, 11
social justice advocacy, 65
social justice interpretations, 65
social justice pedagogy, 67, 69, 71, 72, 74
structural violence, 4, 62, 69, 70
student achievement, ix, 12, 17, 87, 107, 128, 129, 131, 133, 163, 166, 169, 199, 200, 212, 217, 229, 239, 245, 251
systemic improvement, 259, 260

technology infrastructure, 254, 256
technology integration, 183, 256, 258, 261, 263, 265
technology knowledge, 258
technology leadership, 253, 254, 256, 258, 259, 261, 262, 263, 265, 266
technology leadership model, 183, 253, 254, 259, 265, 266
technology leadership, lack of focus on, 256
technology outcomes, 255, 258, 261
technology penetration, 255
transfer of knowledge, 29
transfer of learning, 30
transformational leadership, 66, 164, 168
Trends in International Mathematics and Science Study (TIMSS), 12
typology, 18, 223

U.S. Department of Education, 166
usable knowledge, 28

visionary leadership, 164, 259, 260
Vygotsky, 32

white privilege, 5, 69, 71
wireless networks & devices, 255

zone of proximal development, 32